DOCUMENT RESUME

ED 207 205 EA 013 993

AUTHOR Stephens, E. Robert; And Others
TITLE Education Service Agencies: Status and Trends. ESA Study Series/Report No. I.
INSTITUTION Stephens Associates, Burtonsville, Md.
SPONS AGENCY Edgewood Independent School District, San Antonio, Tex.; National Inst. of Education (DHEW), Washington, D.C.
PUB DATE Jun 79
GRANT OE-G-72-4449
NOTE 299p.; Not available in paper copy due to small print of much of original document. For related documents, see EA 013 993-998.

EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS Administrative Organization; Administrators; Classification; Data Analysis; Demography; Educational Facilities; *Education Service Centers; Elementary Secondary Education; Financial Support; Networks; Questionnaires; Services; Staff Utilization; State School District Relationship; Tables (Data)

ABSTRACT

A comprehensive descriptive study of educational service agencies (ESAs), this project sought to provide an initial database on ESAs that could support future inquiry, to assemble information on present practice that could be used by states to guide the formation of new ESA systems or the modification of existing ones, and to develop an improved classification system, making possible more precise terminology and leading to clearer communication on subjects related to ESAs. Twenty-six states were surveyed using two questionnaires, which were distributed between July and October in 1978. Data were analyzed according to nine categories and further broken down into three types of state networks--the special district ESAs, the regionalized ESAs, and the cooperative ESAs. The report is divided into eleven chapters; each considers one of the nine principal characteristics studied. Chapter eleven presents a discussion of the findings. One important conclusion is that the large number of selected characteristics is useful in identifying the critical variables to be considered in the development of a meaningful taxonomy of types of ESAs. Such a taxonomy is an essential prerequisite to the design of evaluation strategies for comparing the effectiveness of different types of education service agencies. (Author/WD)

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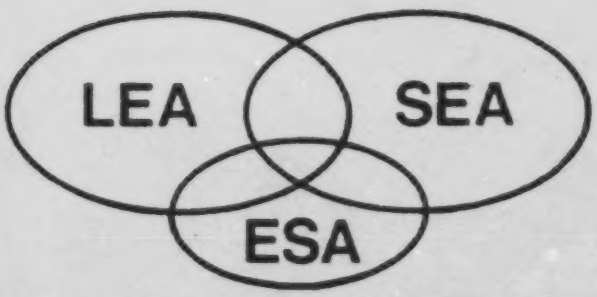

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EA 013 993

ESA Study Series / Report No. I

June, 1979

PUBLICATIONS OF THE ESA STUDY SERIES[a)]

*Report No. I. EDUCATION SERVICE AGENCIES: STATUS AND TRENDS

PART A TECHNICAL APPENDIX
PART B EXECUTIVE SUMMARY
PART C QUICK REFERENCE CHART
PART D A GLOSSARY, THESAURUS AND TAXONOMY OF ESA CONCEPTS AND TERMS

*Report II. THE PERCEPTIONS OF SELECTED KEY ACTORS CONCERNING ISSUES SURROUNDING EDUCATION SERVICE AGENCIES

*Report III. THE ESTABLISHMENT AND ABOLISHMENT OF A STATEWIDE NETWORK OF EDUCATION SERVICE AGENCIES: THE KENTUCKY EXPERIENCE

**Report IV. A DIRECTORY OF EDUCATION SERVICE AGENCIES 1977-78

*Report V. A SELECTED BIBLIOGRAPHY ON INTERAGENCY COOPERATION, INTERGOVERNMENTAL RELATIONS, AND REGIONAL PLANNING IN ELEMENTARY/SECONDARY EDUCATION AND OTHER PUBLIC SERVICES

*Report VI. FACTORS INFLUENCING LOCAL EDUCATION AGENCY PARTICIPATION IN THE PROGRAMS AND SERVICES OF EDUCATION SERVICE AGENCIES IN THE STATE OF TEXAS

*Report VII. MAJOR POLICY ISSUES SURROUNDING THE EDUCATION SERVICE AGENCY MOVEMENT AND A PROPOSED RESEARCH AND DEVELOPMENT AGENDA

**Report VIII. CONCEPTUAL AND METHODOLOGICAL CONSIDERATIONS FOR USE IN PLANNING STATE SYSTEMS OF EDUCATION SERVICE AGENCIES

**Report IX. THE ROLE OF EDUCATION SERVICE AGENCIES IN METROPOLITAN AREAS

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a)Two other products of the ESA Study series not shown above are: a library collection of primary documents and illustration of exemplary ESA practices, housed at the AASA/National Association of Education Service Agencies, and, the staging, in June, 1979, of an Invitational Symposium on ESAs.

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*Subcontract with the Edgewood Independent School District, San Antonio, Texas (National Institute of Education, Department of Health, Education, and Welfare, Grant #OE-G-0-72-4449).

**Subcontract with the AASA/National Association of Education Service Agencies (U.S. Office of Education, Department of Health, Education, and Welfare, OE #300-78-0056).

EDUCATION SERVICE AGENCIES: STATUS AND TRENDS

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June, 1979

This report was funded by a subcontract with the Edgewood Independent School District, San Antonio, Texas (National Institute of Education, Department of Health, Education, and Welfare, Grant #EO-G-72-4449). However, the contents do not necessarily reflect the position or policy of either agency, and no official endorsement of these materials by the agencies should be inferred.

ACKNOWLEDGEMENTS

Completion of this report could not have been possible without the assistance of many individuals and organizations. Special gratitude is expressed for the state education agency project coordinators and the executive officers and staff members of education service agencies who gave generously of their time and energy in completing the survey instruments and aided in the collection of materials. These individuals were indispensable partners in this undertaking. The names of the state project coordinators appear in Chapter One. The several hundred staff members of service agencies must remain unnamed.

The Project Staff is particularly appreciative of the contributions of David P. Mack, Senior Associate, National Institute of Education who helped stimulate initial interest in the ESA Study Series, provided support throughout the duration of the project, and whose commitment remained strong during the sixteen month effort. The many contributions of Walter G. Turner, Associate Director, American Association of School Administrators and Secretary, American Association of Education Service Agencies are also acknowledged. He facilitated work on many aspects of the project and regularly provided important support assistance.

Special gratitude is extended to members of the National Advisory Panel and Technical Advisory Committee who assisted in the development of the design of the study, and critiqued data instruments and drafts of the report. The quality of the work of the entire ESA Study Series was materially enhanced because of the involvement of these groups, whose names also appear in Chapter One.

The Project Staff benefited from the help of many other individuals who provided technical assistance in the design of the study and offered advice and criticism in reviewing and commenting on the work in progress. The members of the consultants panel appear in the introductory chapter.

A number of individuals also assisted in preparing data for the report. Special appreciation is extended Lois Williams, Lois Lotis and Mark Gividen. Assistance of the Computer Center, University of Maryland, College Park, is also acknowledged.

Anne Lewis provided valuable editorial assistance.

A special note of thanks is extended Lu Hutz who typed much of the final report and the entire Technical Appendix.

E. Robert Stephens,
Project Director

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CHAPTER ONE

INTRODUCTION AND AN OVERVIEW OF THE RESEARCH METHODOLOGY USED IN THE CONDUCT OF THE STUDY

1. INTRODUCTION TO THE STUDY

Historical Context

The development of effective state school system structures for elementary-secondary education has, in recent years, commanded high public and policy attention. In the post World War II period, 4 basic approaches to alter the traditional delivery systems for elementary-secondary education have been used in most states: (1) the reorganization of local school districts; (2) the provision of specialized services through decentralization of the state education agency; (3) the formation of educational cooperatives; and, (4) the formation of special district education service agencies. These basic strategies have been used singly, or in combination, in a large number of states.

For much of the post World War II period, the first approach, the reorganization of local school district (LEA) patterns, by the merger of 2 or more districts, was extensively used and resulted in a substantial reduction in the number of LEAs from approximately 106,000 in 1948 to 17,237 in 1971. In the decade of the 1970's, however, that movement has markedly subsided. The number of LEAs in 1977-78 was 15,913, a reduction of only 1,334 since 1971.1/

The second approach, the provision of specialized services from state education agencies (SEAs), appears to be most pronounced during the past decade. The extent to which SEAs have increased their service capacities, as opposed to their regulatory and administrative functions, varies considerably by state and by program. The use of this approach is sparsely documented at the present time.

It is the third and fourth approaches, the formation of cooperatives or some type of education service agencies at sub-state levels, that appear to be the most frequently used strategy in recent years. This movement gained momentum in the mid- and late-1960's, the approximate period of the demise of the reorganization of local education agencies.

1/ All data on local school district patterns used here were computed from reports published by the National Center for Educational Statistics, Department of Health, Education, and Welfare, Washington, D.C.

Education Service Agency (ESA) type organizations are developing in 3 basic patterns.1/ These are:

1. The special district patterns, through designation of a legally constituted unit of school government between the state education agency and a collection of local education agencies. This form of ESA is supported by the view that ESAs should be established by the state, or the state and LEAs acting in concert, to provide service to both the SEA and constituent local districts.

2. The decentralized SEA pattern, through establishment of regional branches of the state agency. This pattern is supported by the view that ESAs should be established as arms of the state to deliver services for the state to LEAs.

3. The cooperative pattern, through sponsorship by 2 or more local education agencies, of single or multi-purpose shared services. This pattern is supported by the view that ESAs should be established by consortia of LEAs to provide services exclusively to members of the consortia.

Though categorization invites over simplification, the following is provided as an overview of the status of the ESAs in late 1977, the eve of the launching of this exploratory investigation.

1. In the past decade, a number of states have developed complete statewide networks of special district ESAs by restructuring existing middle echelon units to make them more service oriented, or have created totally new units of school government between the SEA and collections of LEAs. These states are Illinois, Iowa, Michigan, Pennsylvania, Texas, Washington, and Wisconsin. Another 2 states -- Oregon and New York -- have established partial statewide systems. Two other states that appear to be moving toward a mix of SEA/LEA services by the ESAs are California and Ohio, where the existing statewide middle-echelon networks of long standing are the county school systems.

2. The decentralized arm of the state education agency appears to be most extensively developed in 5 states. In the 1977 school year, North Carolina operated a statewide network of 8 regional centers that provided services to LEAs in the geographic regions of the centers.

1/ In this study the generic term Education Service Agency (ESA) will be used to identify all 3 basic patterns -- the special district ESA, the regionalized SEA/ESA, and the cooperative ESA. The names of existing ESA type agencies vary from state to state (see Table 2 for illustrative titles.)

The Massachusetts Department of Education operated 6 regional centers, serving all LEAs in the Commonwealth. In New Jersey, 4 Educational Improvement Centers blanket the state, in addition to the traditional county unit structure. In Ohio, the SEA operated a number of single-purpose service networks, in addition to the county school systems, and Oklahoma had a statewide system of 20 ESAs.

3. Education cooperatives have existed in limited numbers for many years but experienced substantial growth in this decade. Nine of the member states of the Appalachian Regional Commission -- Alabama, Kentucky, Maryland, Mississippi, Ohio, South Carolina, Virginia, Tennessee, and West Virginia -- have promoted this form of an ESA in recent years. In addition, Connecticut has a statewide network of 6 units. Other states where the cooperative pattern appears to be flourishing, are: Colorado, Georgia, Idaho, Illinois, Massachusetts, Minnesota, Nebraska, Ohio, and Rhode Island.

Some states (e.g., Illinois, Ohio, Massachusetts) have more than 1 type of ESA operating simultaneously. Some have relatively formalized systems or networks, while others operate more like federations of independent units, with no apparent over-all master planning for their development and operation.

Little descriptive and comparative data is presently available on the workings of ESAs of the special district type, even though this form appears to be most widely used and has been in use the longest. The data base on the second form of ESA, the regionalized SEA, is even more limited. And, the literature on the third major form of ESA, the educational cooperative, is also meager.1/ Moreover, a number of limitations are evident with the current literature. First, the studies that are available almost exclusively concentrate on overview of selected characteristics of ESA "systems," few offer comparisons among states even on the factors considered in the reports. Second, a substantial number of the available studies fail to provide either a conceptual or analytical framework for consideration of like or dissimilar

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1/ For 4 recent studies on educational cooperatives, see: Larry W. Hughes and C. M. Achilles, Project Directors, Interpretative Study of Research and Development Relative to Educational Cooperatives, Bureau of Research Office of Education, U.S. Department of Health, Education and Welfare, Washington, D.C., 1971, 173 pp.; Richard J. Lavin and Jean E. Sanders, A Review of Educational Cooperatives and Their Various Forms, Merrimack Education Center, Chelmsford, Massachusetts, 1974, 120 pp.; Harold S. Davis, Education Service Centers in the U.S.A., Connecticut State Department of Education, Hartford, 1976, 103 pp.; and John D. Waller, Dona M. Kemp, and John W. Scanlon, Supporting Analyses for Assessment of the Appalachian Regional Commission's Regional Educational Service Agencies Program, The Urban Institute, Washington, D.C., 1976, 112 pp.

features. Therefore, their utility for policy consumption is limited. Third, collectively, the existing studies offer a fractured picture, in that different sets of states have been examined at different times in relation to a variety of factors. And, finally, none of the previous studies appear to approach the detail that seems to be warranted, given the recent widespread interest in the concept.

II. PLANNING FOR THE PRESENT STUDY

Introduction

It was within the context of an accelerating interest in the education service agency concept, and a limited literature, especially of base line data comparing ESA governance and organizational features, that 2 newly created special interest groups jointly began to advocate comprehensive studies on the ESA concept. This section of the report briefly outlines a number of the major joint planning activities undertaken by these 2 groups in recent years. These culminated in the endorsement, and the subsequent sponsorship by the National Institute of Education of a comprehensive descriptive study as the first step in what was regarded to be a series of investigations on the workings and effectiveness of ESAs.

Planning Activities in 1976

Three events in 1976 focused on the priority research and development needs of state education agencies and administrators of educational service agencies. The first was a series of 4 regional seminars for administrators of educational service agencies sponsored by the National Institute of Education and the American Association of School Administrators.1/ The 4 seminars were held in May and June in San Francisco, Denver, Detroit, and at the University of Maryland, College Park. About 300 individuals attended the 4 sessions, the majority of whom were administrators and other leadership personnel of ESAs.

1/ The 4 regional seminars were funded by the National Institute of Education, School Practice and Service Division, Dissemination and Resources Group. The planning committee for the seminars was chaired by C. L. Hutchins, Chief, School Practice and Service Division, NIE, who initiated the proposal. Representing the American Association of School Administrators was Paul B. Salmon, Executive Secretary. The 4 regional coordinators were: Glenn Hoffman, Superintendent, Office of Santa Clara County Superintendent of Schools, California (San Francisco); Walter G. Turner, Executive Director, Northern Colorado BOCES, Longmont, Colorado (Denver); Albert L. Goldberg, Coordinator, Instructional Development, Wayne County Intermediate School District, Detroit, Michigan (Detroit); and E. Robert Stephens, Professor and Chairman, Department of Administration, Supervision, and Curriculum, University of Maryland (College Park.)

One of the objectives of the seminars was to determine the perceptions of the participants concerning research and development (R&D) priorities on the ESA concept. A clear consensus indicated these priorities: governance arrangements for ESAs; financing of ESAs; program evaluation and cost effective studies; and, the relationship of ESAs with other education and non-education agencies, especially metropolitan LEAs, other state education agencies, other government subdivisions, and health, welfare, and social agencies. There was widespread support for descriptive studies of existing practices in these broad topical areas.1/

The second activity in 1976 was an informal survey of 28 representatives of state education agencies who had program responsibility for education service type-agencies operating in their states.2/ This survey sought the perceptions of SEA officials in 3 areas: (1) the control of policy making for 25 key aspects of the operation of county, intermediate, or regional education service agencies; (2) the relationship between the SEA and county, intermediate, and regional education service agencies; and, (3) R&D priorities in regionalism that might be given consideration by the research and professional communities.

Ten SEA representatives participated in the survey.3/ The principal findings of this informal probe were:

1. Great variations existed concerning the source of authority for policy development for the governance and management of service centers (e.g., legislation, SEA rules and regulations). Similarly, great differences were reported concerning the locus of control for ESA policy development for the 25 policy areas (e.g., control held unilaterally by the service unit, held unilaterally by the SEA, shared by the service unit and SEA.)

1/ E. Robert Stephens, Proceedings of the Four Regional Seminars for Administrators of Educational Service Agencies, National Institute of Education, School Practice and Service Division, Dissemination and Resources Group, November, 1976 (unpublished.)

2/ This informal survey was conducted in September by E. Robert Stephens, Univerisy of Maryland, College Park, at the request of Norman L. Larson, Wisconsin State Department of Public Instruction, who was serving at that time as a spokesman for an informal group of SEA representatives.

3/ Representatives of the following 10 states participated in the survey: Colorado, Florida, Georgia, Illinois, Iowa, Louisiana, Pennsylvania, Oregon, Washington, and Wisconsin.

2. The 4 R&D priorities identified were: optional systems for financing service centers; cost effective studies of service units; models for the governance of service units; and assessing the effectiveness of ESA type units.1/

The third event in 1976 was a 2 day invitational seminar on December 1-2 in Chicago, sponsored by the Wisconsin State Department of Public Instruction. Representatives of 6 other midwestern states (Illinois, Indiana, Iowa, Michigan, Minnesota, and Ohio) attended in addition to an observer from the Washington SEA. The principal activities completed by the group at this session were: (1) a reaffirmation of the need to share information on ESA operations and to jointly sponsor R&D activities; (2) the adoption of tentative bylaws for the establishment of a national consortium of representatives of SEAs having program responsibility for service agencies; and, (3) the scheduling of a national meeting for early May, 1977.2/

Planning Activities in 1977

Three major planning activities completed in 1977 also shaped the direction and thrust of the present study. The first of these was an invitational meeting of SEA representatives in Chicago on May 3-4. Fourteen representations from 12 state education agencies attended.3/ Other invited guests included representatives from the National Institute of Education and U.S. Office of Education, and E. Robert Stephens, University of Maryland.4/

1/ E. Robert Stephens, "Results of Preliminary Survey of SEA Representatives Having Program Responsibility for Educational Service Agencies" (unpublished report presented at special section meeting of SEA representatives held at the National Convention of the Rural/Regional Education Association, Albany, New York, October 25, 1976.)

2/ This new organization tentatively adopted the name National Council of State Consultants for County, Intermediate, and Regional Educational Service Agencies. Norman L. Larson, Wisconsin State Department of Public Instruction, was designated by the group to serve as its temporary chairperson.

3/ The 12 SEAs represented at this meeting were: Colorado, Georgia, Illinois, Indiana, Iowa, Minnesota, New Jersey, New York, Pennsylvania, Ohio, Oklahoma, and Wisconsin.

4/ Representing the National Institute of Education were David P. Mack, NIE Associate, School Finance and Organization Division, and Cheryl G. Hutchinson, Associate Advisor, School System Relations, Office of the Director. Representing the U.S. Office of Education was Ellan K. Hertzler, Ombudsman to Chief State School Officers.

The 2 major objectives of this meeting were: (1) to secure from the participants their individual, and, in most instances, their collective views concerning priority research and development requirements on the concept of educational service agencies; and, (2) to facilitate the sharing of information concerning the initial, current, and projected issues associated with the operation of diverse education service agencies that function in equally diverse state school system settings. A series of 10 structured exercises were developed to attain these 2 overriding objectives.1/

Two major actions were taken at the meeting. The first was the formal adoption of by-laws creating the National Council of State Consultants for County, Intermediate, and Regional Educational Service Agencies. Norman L. Larson was elected president of the Council. The second action was the passage of a resolution calling for the conduct of a comprehensive descriptive study of educational service agencies as a first step in establishing a data base on ESA operations. The president was authorized by the membership to proceed in implementing this priority and to seek funding for it.

The second significant development in 1977 was the formal creation of the National Organization of County, Intermediate, and Educational Service Agencies, a professional interest group composed of administrators of ESAs. A 9 member governing board, elected in February, held its first organizational meeting in April. At this time, the governing Council formally entered into negotiations with the American Association of School Administrators (AASA), seeking affiliate status. At its organizational meeting, the Council also adopted a tentative set of program priorities, one of which was to sponsor studies on the educational service agency movement. Negotiations between the Council and the AASA were completed in April and May, and a contract between the 2 groups was formalized soon thereafter. Walter G. Turner was selected as the first secretary of the Council. The secretary also holds the rank of Associate Director, AASA.2/

1/ The results of the 10 work exercises are reported in an unpublished conference report prepared by E. Robert Stephens ("Report of the May 3-4, 1977 Meeting of the National Council of State Consultants for County, Intermediate, and Regional Educational Service Agencies, June, 1977".)

2/ For a comprehensive statement on the chronology of events leading to the formation of this organization, see "The Development of the AASA/ National Organization of County, Intermediate, and Educational Service Agencies: One Year Perspective" (unpublished speech by Urly Arnold, member of the Council, delivered at the Second Joint Conference of the Executive Officers of Service Agencies in New York and Pennsylvania, May 21-23, 1978, Albany, New York.)

The third and final planning event in 1977 was the sponsorship by the NIE of an invitational meeting on August 11-12 in Washington, D.C. Invitations were extended to the following: (1) 4 representatives of the newly organized National Council of State Agencies; (2) 4 representatives of the newly created AASA/National Organization of County, Intermediate, and Educational Service Agencies; (3) one staff representative each from the Council of Chief State School Officers, the National Association of State Boards of Education, the National Governors' Conference; and, (4) one representative of the U. S. Office of Education.1/

The stated objectives of the meeting were: (1) to discuss the implications of a report on the May 3-4 meeting of SEA representatives; (2) to critique a draft outline of the scope of a proposed comprehensive descriptive study; and, (3) to discuss the long range research needs and policy objectives of the NIE goal to launch a comprehensive descriptive study of ESAs as the first of a planned series of investigations into the workings of these emerging units.2/

The 1978 NIE Request for Proposals

Using the results of the August session, the NIE, on December 9, 1977, released a Request for Proposal for a study of Educational Service Agencies.3/ Monies for the study were secured through an existing grant to the Edgewood Independent School District, San Antonio, Texas. Deadline for submission of proposals was established as January 9, 1978. Notification to the successful contractor, Stephens Associates,was received on February 23,1978.

III. MAJOR OBJECTIVES OF THE EXPLORATORY DESCRIPTIVE STUDY

The 3 major objectives of this exploratory study were established in the Request for Proposal (RFP). These were:

1. "To provide an initial data base (on ESAs) which can later be added to and which will be sufficient to support inquiry into more complex questions in the future."

2. "To assemble information about present practice which can be used by states to guide the formation of new ESA systems as well as to modify systems in states where they now exist."

1/ Letter of invitation dated July 22, 1977 (co-signed by Norman L. Larson, President of the SEA group, Walter G. Turner, Secretary of the ESA administrators group, and David Mack, National Institute of Education.)

2/ Ibid., p. 2.

3/ Request for Proposal, Edgewood Independent School District, San Antonio, Texas, December 9, 1977, 37 pages.

3. "To develop an improved classification system to ESAs which makes possible more precise terminology and leads to clearer communication on subjects related to ESAs." 1/

The RFP requirements concerning the scope of work necessary to attain the objectives and the plan used by the Project Staff in fulfilling the requirements are discussed in the following sections of this chapter.

IV. SCOPE OF WORK INCLUDED IN THE PRESENT STUDY

Introduction

Discussed below is the scope of the descriptive study of educational service agencies. Presented initially is a description of the scope of work cited in the RFP. This is followed by a discussion of the scope of work stated in the Technical Proposal submitted by Stephens Associates. This sequential discussion of the scope of work is presented as an aid to the reader in understanding the direction that the descriptive study took from its inception through its final planning stages.

The Scope of Work Identified in the RFP

The RFP identified 11 tasks to be completed in the descriptive study. Also cited in the RFP were specific questions for each task. The 11 tasks, the first 7 of which are reported in this study, were: 2/

Task #1 "Conduct an analysis of the legislation or regulation(s) cited as the authority for the establishment of ESA systems in each state where each ESA system now operating was established." 3/

Task #2 "Describe and classify the governance arrangements which prevail in individual Education Service Agencies and in state systems of ESAs."

1/ Ibid., p. 4.

2/ Ibid., pp. 9-22.

3/ The RFP identified 15 states viewed to have complete or nearly complete state systems of multi-purpose ESAs that were required to be included in the study (Alaska, Colorado, Georgia, Illinois, Iowa, Michigan, Minnesota, Nebraska, New York, Oregon, Pennsylvania, Texas, Washington, West Virginia, and Wisconsin.) The RFP also made optional the inclusion of ESAs in 15 other states viewed to have ..."multi-purpose...or single purpose...educational cooperatives or some other regional arrangement for providing services" (Alabama, California, Connecticut, Idaho, Kentucky, Maryland, Massachusetts, Mississippi, New Jersey, North Carolina, Rhode Island, South Carolina, Tennessee, Virginia, and Wyoming.) Ibid., p.3.

Task #3 "Describe and classify the structural organizational arrangements which exist in the state systems of ESAs. Show the interrelationships with regard to lines of authority and channels of communication which exist between ESAs and SEAs and between ESAs and LEAs."

Task #4 "Develop a profile which describes the way ESAs are financed in each state having an ESA system. Gather revenue and expenditure data and display it in a way that will support studies of greater complexity as may be proposed for the future."

Task #5 "Develop a staffing profile of Education Service Agencies."

Task #6 "Describe the type and amount of property owned by ESAs and the requirements under which they are permitted to lease or own property."

Task #7 "Develop a detailed description of the services offered by the Education Service Agencies in each state. Determine the per unit costs and identify the clients for each service."

Task #8 "Prepare a glossary which defines some of the terms and concepts related to ESAs."

Task #9 "Assemble a small library of primary documents related to ESAs which can be easily collected from the states, and which can be available for reference and research."

Task #10 "In no less than 3 and no more than 6 states, examine the role of Education Service Agencies in increasing or equalizing educational opportunity for providing greater access to services for students in low-wealth school districts. Texas must be one of the states examined."

Task #11 "Identify and discuss a series of important issues related to Education Service Agencies. From these issues, generate a series of research questions that could form the basis for further inquiry."

The Scope of Work Identified in the Technical Proposal

Three major changes in the scope of work cited in the RFP were made in the Technical Proposal: (1) the addition of 2 new tasks; (2) the addition of 10 states to the base line descriptive study of ESAs; and (3) revisions made in the listing of operational questions cited in the

RFP. 1/ A discussion of the nature of each of these changes and a brief statement of rationale for each follows:

The Addition of 2 New Tasks. The 2 new tasks included as part of the Technical Proposal were:

Task #12 "Description of selected state education agencies characteristics relating to ESAs."

Task #13 "Development of a case study of the evolution of ESAs in the State of Kentucky."

Both of these additions were integral to the 3 major objectives of the study. The inclusion of selected SEA-ESA relations was justified in that some state agencies have been active partners in the governance and establishment of ESA systems, while others have played virtually silent roles as ESAs emerged in their states. The mere presence of ESAs, moreover, ordinarily demands some state-level response, irrespective of the extent of SEA involvement during the initial establishment of the service units or the present governance of the ESAs. Thus, a special focus on selected SEA relationships with ESAs operating in the state adds an important dimension to the descriptive study.

Similarly, Kentucky's experience with the ESA concept is unique in recent history, in that a statewide system of ESAs was established in the late 1960s and early 1970s, only to be subsequently essentially dissolved. No other contemporary state system is known to have experienced this process. An insight into the evolution of ESAs in Kentucky would add substantially to the major objectives of the descriptive study, and, in addition, would be of high interest to the policy and professional communities, especially in states not presently having a system of service units.2/

The Addition of 10 States to the Descriptive Study. As established previously, the RFP identified 15 priority states to be included in the descriptive study. All presently have complete, or virtually complete, state systems of multi-purpose ESAs. In addition, the RFP made optional the inclusion of other states from a listing of 15 known or those viewed to have multi-purpose or single-purpose educational cooperatives or some other regional configurations. The Technical Proposal was expanded to include 10 of these 15 optional states. These 10 states were: California,

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1/ A Series of Comprehensive Studies on Educational Service Agencies, Technical Proposal, submitted by Stephens Associates in response to the Request for Proposal, January 9, 1978, pp. 16-58.

2/ This report is published as a separate document -- see ESA Study Service Report No. III The Establishment and Abolishment of a Statewide Network of Education Service Agencies: The Kentucky Experience, Stephens Associates, July 1979.

Connecticut, Maryland, Massachusetts, New Jersey, North Carolina, Ohio, Oklahoma, Rhode Island, and South Carolina.1/ A number of considerations influenced the decision to include one or more of the 10 states. Chief among the factors considered were:

1. To include other known statewide systems of ESAs (in the cases of California, Connecticut, Massachusetts, New Jersey, Ohio, and Oklahoma.)

2. To include statewide systems of various types of ESAs (e.g., the special district units in California and Ohio; the regionalized SEA units in Massachusetts, New Jersey, and Oklahoma.)

3. To reflect a degree of geographic balance in the descriptive study (in the case of South Carolina.)

4. To include state systems having relatively new ESAs (e.g., Rhode Island), as well as to have relatively stable ESAs (many of the 10 states have had operating ESAs for a number of years.)

5. To include state systems having unique circumstances (e.g., the dual system of ESAs in Massachusetts and New Jersey, the multiple system of ESAs in Ohio, the unusual governance arrangement for the regional unit operating in Maryland.)

6. The perceived readiness or willingness of the state to be involved in the study.

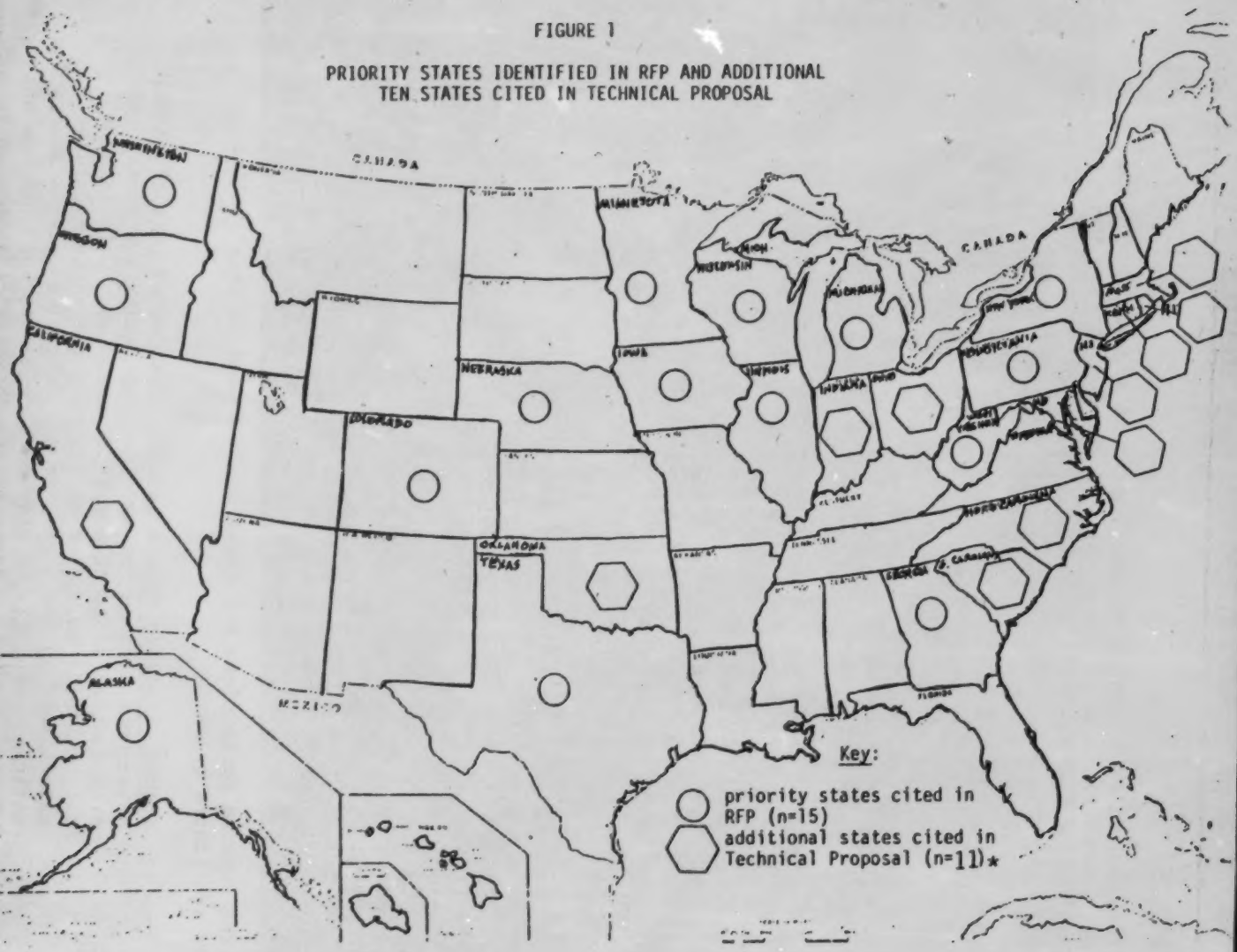
In summary, the Technical Proposal established that 25 states, rather than the 15 called for in the RFP, would be included in the descriptive study. The 25 states are highlighted in Figure 1.

Revisions in the Operational Questions. The third major change in the scope of work cited in the Technical Proposal was revision of the operational questions associated with each of the 11 major tasks identified in the RFP. These revisions were of 3 types: (1) in a relatively small number of instances, operational questions cited in the RFP were deleted in the Technical Proposal as being too difficult to achieve because of the perceived unavailability of data at the SEA or ESA levels; (2) in many more instances, the thrust of the operational questions cited in the RFP were expanded; and (3) in still another instance, a significant number of new probes were added. A complete discussion of the revisions of the operational questions undertaken by the Project Staff is presented in a following section of this introductory chapter.

1/ The exclusion of the remaining states in the optional list -- Alabama, Idaho, Mississippi, Tennessee, Virginia, and Wyoming -- was not viewed as critical for the conduct of the study, in that all were viewed to have only sporadic or isolated ESA developments.

FIGURE 1

PRIORITY STATES IDENTIFIED IN RFP AND ADDITIONAL TEN STATES CITED IN TECHNICAL PROPOSAL



*Ten states were added in the Technical Proposal. An eleventh, Indiana, was subsequently added to the study.

V. OVERVIEW OF PROCEDURES USED IN THE CONDUCT OF THE STUDY OF SELECTED ESA CHARACTERISTICS

Introduction

Presented in this section of the chapter is an overview of the principal procedures used in the conduct of the descriptive study of selected ESA characteristics including: initial communication with the state education agencies in the target states; ESA networks identified by the SEAs to be included in the descriptive study; development of the data instruments; general approaches used in data collection and data verification; and approaches used in data reporting and data analysis.

Initial Communication With the State Education Agencies

A letter requesting participation in the study was sent to the chief state school officer of the priority 25 states on May 15, 1978. The letter emphasized the following points: (1) the objectives and perceived values of the study; (2) the joint pre-planning activities of representatives of state education agencies and ESA administrators; (3) the composition and role of both the National Advisory Panel and Technical Advisory Committee; (4) an overview of the data collection plan; and, (5) a brief description of the products to be developed in the study.

If the chief state school officer agreed to have his/her state education agency involved in the study, they were then asked to designate an "SEA Project Coordinator" to be responsible for the coordination of project activities in the state. A reminder was offered that the "SEA Project Coordinator" should ordinarily be the SEA staff member having primary responsibility for ESA operations in the state. The chief state school officers were further requested to ask the designated SEA staff member to supply the Project Staff with his/her name, address, and phone number, on a standardized form provided for this purpose. The "SEA Project Coordinator" was also asked to indicate the number of ESAs, by type, that existed in the state that were to be included in the study.

The working definitions for types of ESAs used in this preliminary survey are listed below:

Type A: Special District ESA. A legally constituted unit of school government sitting between the state education agency and a collection of local education agencies. This pattern appears to be supported by the view that ESAs should be established by the state, or the state and local education acting in concert, to provide services to both the SEA and constituent LEAs. Dominant characteristics appear to be: (1) legal framework: tends to be structured in legislation and/or SEA regulations; (2) governance: tends to be lay control; (3) programs and services: tends to be a mix of

services for member LEAs and the SEA; and, (4) fiscal: tends to be a mix of local, regional, state and state/federal.

Type B: Decentralized State Education Agency ESA. A regional branch of the state education agency. This pattern appears to be supported by the view that ESAs should be established as arms of the state to deliver services for the state education agency. Dominant characteristics appear to be: (1) legal framework: tends to be structured in SEA regulations only; (2) governance: tends to be professional advisory only; (3) programs and services: tends to be almost exclusively determined by SEA; and, (4) fiscal: tends to be almost exclusively state and/or state/federal. Variations include: (1) provision of administrative services only; (2) provision of general services only; and, (3) provision of administrative and general services.

Type C: Cooperative ESA. A loose consortium of local education agencies. This pattern appears to be supported by the view that ESAs should be established by 2 or more local education agencies to provide services exclusively to members of the cooperative. Dominant characteristics appear to be: (1) legal framework: tends to be general (e.g., intergovernmental relations statutes); (2) governance: tends to be professional advisory only; and, (3) programs and services: tends to be almost exclusively local and state/federal. Variations include: (1) multi-purpose (5 or more services); (2) limited-purpose (not more than 4 services); (3) single-purpose (e.g., handicapped children, vocational/occupational, media, data processing, other).

Responses to the 2 requests for information (the name of the "SEA Project Coordinator", and the number and type of ESAs to be included in the Study were received from 13 of the 25 state education agencies by May 26, 1978, the designated notification date. Follow-up procedures (e.g., second letters and telephone calls from the Project Staff, letters of endorsement from Norman L. Larson, President, National Council of State Consultants for Educational Service Agencies and Walter G. Turner, Secretary AASA/National Organization of County, Intermediate, and Educational Service Agencies) in early and mid-July resulted in the return of 5 additional response forms by the end of July. Another round of follow-up activities, similar to those cited above, was undertaken in the months of August and early September for the 7 remaining non-responding states. All 25 state education agencies agreed to participate in the study by September 15th, the final deadline established for this procedural step. In addition, discussions with a representative of the Indiana State Education Agency in July resulted in a decision to include the 4 newly created ESAs in that state in the investigation. Thus, the descriptive study of selected characteristics includes ESA developments in 26 states.

Number of ESAs Identified by the SEAs as Operating Units in 1977-78 and Those Selected for Inclusion in the Present Study

A total of 969 ESAs were identified by the "SEA Project Coordinators" as operating units in their states in the 1977-78 school year. As shown in Table 1, special district ESAs comprised the largest number of units (547 or 56.5 per cent of the total). The next largest block of units were the 347 cooperative ESAs. The 75 regionalized SEA/ESAs constituted only 7.7 per cent of the units existing in 1977-78.

As established previously, the participating SEAs were asked to designate the ESA systems that were to be included in the study. No special problems in the choice of units to be included were present in states having a single network. However, as shown in Table 1, a number of the 26 states had 2 or more networks operating simultaneously in 1977-78. In subsequent negotiations with all but 3 of the "SEA Project Coordinators", only the most significant ESA network was chosen for the inclusion in the study. Significance in this instance was defined to mean the network that was the major system in terms of statewide coverage, or dollars expended, or number of employees, or comprehensiveness of programs and services offered.

The 3 exceptions were Massachusetts, New Jersey and Ohio. Massachusetts had both a regionalized SEA/ESA network, and a system of cooperative ESAs. In this instance, the 6 regionalized SEA/ESAs were included, as were 5 of the 44 cooperative ESAs. The latter were selected by the SEA and are viewed to be representative of both large and small service agencies. Both of the regionalized SEA/ESA networks in New Jersey were also included. The third state, Ohio, reported a total of 5 different networks. In this instance 4 of the 5, all except the 49 Joint Vocational Districts, were included in the study.

A final list of 31 networks in the 26 states was selected for inclusion in the descriptive study. The number of ESAs, by type, their official titles, and their status (either complete statewide or partial statewide) are shown in Table 2. The geographical distribution of the 31 networks is illustrated in Figure 2.

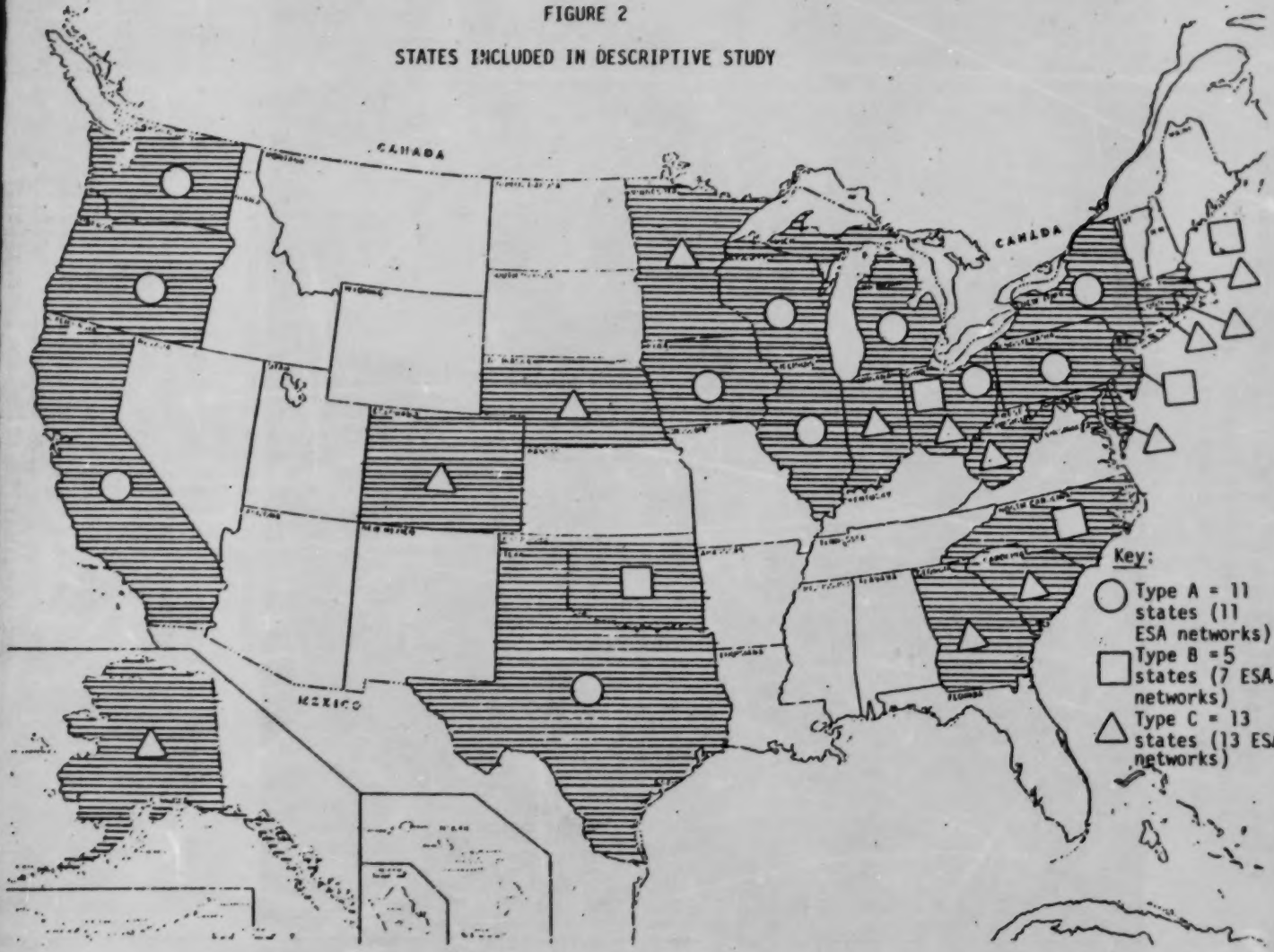
These significant points concerning the final study population should be noted:

1. The most frequently reported type of ESA network designated for inclusion in the study is Type C, the cooperative ESA (reported in 13 states), followed closely by Type A, the special district ESA (reported in 11 states).

2. In terms of number of individual units in each of the 3 types, the Type A special district agencies comprised the largest number (426, or 68.8 per cent of the 619 units.) The Type B regionalized SEA/ESAs numbered 88, or 14.2 per cent of the total, and the Type C cooperative ESAs, 105, or 17 per cent of the total.

FIGURE 2

STATES INCLUDED IN DESCRIPTIVE STUDY



3. The substantial majority (22 of 31 or 71 per cent of the networks,)were statewide in scope. Seven of the 8 networks that were not, were Type C systems.

4. The 11 special district networks represent virtually all of the systems of the type operating in the nation in 1977-78. The 7 regionalized SEA/ESA networks are viewed to be the most extensive systems of this type. The 13 cooperative ESA networks were regarded to be representative of systems of this type functioning in the nation in 1977-78.

Development of the Data Instruments for the Selected Characteristics

From the onset of this project, planning for the study assumed that a mail questionnaire would be the primary data collection approach. This survey method was given prominence in order to:

1. Broaden the base of the investigation, particularly with regard to the substantative aspects of the probe, as well as to enlarge the number of states included; and,

2. Make maximum use of the resources available to underwrite the costs of the studies.

Discussed below are the major steps taken in the development of the data instruments used.

Overview of the Data Instruments. After discussion with members of the National Advisory Panel, Technical Advisory Committee and project consultants, the decision was made to use 2 basic instruments:

Section One — "Information to be Completed on the State System of Education Service Agencies (ESAs)." This form, which was to be completed by the SEA Project Co-ordinator in each state, sought information in 4 major areas: establishment characteristics; general characteristics; financial characteristics; and selected characteristics of the SEA relationship with ESAs.

Section Two — "Information to be Completed on Individual Educational Service Agencies (ESAs)." This form, which was to be completed by each ESA in each state, sought information in 7 major areas: establishment characteristics; governing board characteristics; organizational and management characteristics; financial characteristics; programming characteristics; staffing characteristics; and physical facility characteristics.

A synopsis of the 2 data instruments is presented in Table 3. As shown in the table, a total of 256 individual questions, many of them multi-dimensional in scope, were included.

Three major a priori classification systems were used in constructing the instruments. The first of these concerned the 3 types of ESAs used throughout this descriptive study;

1. Type A special district ESAs;

2. Type B regionalized SEA/ESAs divided into 3 categories; administrative services only; general services only; administration and general services; and,

3. Type C cooperative ESAs divided into 3 subcategories; multi-purpose (5 or more services); limited-purpose (not more than 4 services); and, single-purpose.

The respondents were provided with working definitions of the 3 types of service agencies. The definitions focused on 4 characteristics; legal framework; governance; programs and services; and fiscal attributes of the units.

The second and third major presupposed classification systems used related to programs and services offered by an ESA. In the first instance, programs and services were organized into 6 major categories according to the primary recipients of the program or service:

1. Direct Instructional Services to Public LEAs (including all instructional programs offered by the ESA where there is direct interaction between students and ESA staff;)

2. Indirect Instructional Services to Public LEAs (including all programs offered by the ESA where there is interaction between ESA staff and staff of public schools;)

3. Management Services to Public LEAs (including all non-instructional programs and services offered by an ESA to public schools;)

4. Services to State Education Agency (includes all instructional and non-instructional programs and services offered by the ESA to the state education agency, and recipients, other than LEAs, designated by the SEA;)

5. Services to Nonpublic Schools (including all instructional and non-instructional services;) and,

6. Services to Other Agencies (including all instructional and non-instructional programs and services offered by the ESA to agencies other than LEAs and the SEA.)

The third classification system related to 26 specific program areas offered by an ESA, including their financing and staffing:

1. General ESA Administration
2. Education of Pupils with Handicapping Conditions
3. Vocational/Occupational
4. Adult Education
5. Alternative Schools
6. Bilingual Education
7. General Academic Instruction
8. Gifted/Talented
9. Migrant Education
10. Outdoor/Environment
11. Pre-K Education
12. Pupil Personnel Services
13. Curriculum Services
14. Media Services
15. Staff Development
16. Planning Services
17. Research & Development
18. Evaluation Services
19. Data Processing
20. Personnel Services
21. Purchasing Services
22. Transportation Services
23. Financial Services
24. Information Services
25. Leglislative Services
26. Federal Programs (If not (included elsewhere)

The 3 major a priori classifications systems were derived from the literature and from the experiences of members of the Project Staff. They were subjected to a number of preliminary tests prior to their use. Chief among these were: a critique by a large number of SEA Project Coordinators; a critique by members of the National Advisory Panel and Technical Advisory Committee; critiques by project consultants; and field testing and field review exercises in a number of states and ESAs.

Sources Used in Constructing the Data Instruments. The 256 individual probes were suggested from a number of sources. Foremost, of course, were the Request for Proposal (RFP) and Technical Proposal. The RFP identified 42 operational questions, many of them also multi-dimensional in scope, for each of the major tasks in the descriptive study. The Technical Proposal identified 74 operational questions, many of them also multi-dimensional in scope. A number of factors account for the progressive expansion of the number of probes included in the RFP, the Technical Proposal, and in the final instrumentation (see Table 4 for a comparison of the number of probes for each of the major themes considered in this study.) Chiefly; these were:

1. Added insight by the Project Staff on the nature of the issues as the project developed, especially after the conclusion of field reviews and field tests of early drafts of the instruments.

2. Additional requests for information on ESA operations received from members of the National Advisory Panel and the Technical Advisory Committee.

3. Recommendations of SEA Project Coordinators for the inclusion of additional information on ESA practices.

4. Additional recommendations for information on ESA operations received from project consultants.

A number of principal differences between the operational questions framed in the RFP, the Technical Proposal, and the final instrumentation should also be noted. These were:

1. The RFP called for consideration of the value of facilities and equipment owned by ESAs. This probe was deleted in the Technical Proposal and in the final instrumentation as too burdensome for the respondents to develop reliable data.

2. The RFP called for consideration, if possible, of the per unit costs of the principal services offered by ESAs. This probe was deleted from the Technical Proposal and the final instrumentation as too burdensome on the respondents to develop reliable data.

Format of the Data Instruments. The 2 data instruments used a number of types of questions. Both Section One and Section Two generally used the following 3 types of questions: dichotomus, closed response, and multiple choice. However, a limited number of open-ended questions, and an even more restricted number of rating scales, were also used. The preponderous of the dichotomous, closed response, and multiple choice types of questions, while having some disadvantages, was based on the following major considerations: (1) the need to force the respondent to provide specific answers to complex probes, rather than allowing him/her to make arbitrary choices; (2) the need to provide an opportunity for the respondent to provide all possible alternatives in recognizing the diversity of ESA practices in the 26 target states; and, (3) the need to generate individual responses that could be quickly edited, verified, tabulated, and analyzed.

It was felt that the relatively ambitious schedule of pre-planning activities described previously, in addition to the planned use of field testing and field reviews of the data instruments, would reduce to an acceptable minimum some of the inherent disadvantages of the 3 types of questions that were used extensively in Sections One and Two (e.g., ambiguous wording, presupposing all alternative answers.) Moreover, the relatively extensive endorsement of the study by the 2 national professional organizations of SEA personnel and ESA administrators was viewed as a neutralizing factor regarding still another problem typically resulting from the liberal use of the 3 types of questions — excessive length of the instruments.

Other major features of the data instruments were: (1) space was provided in most instances for the respondents to indicate answers not provided for in the instruments; (2) space was also provided in most instances for the respondents to cite the "source or citation" under which the response was authorized, a practice established primarily to facilitate the verification of the responses; and, (3) features of each of the instruments designed primarily to facilitate responses included: a brief overview of the instrument; brief instructions for completing the instrument; a glossary of terms; and, the coding (letter and number) of the probes. In addition, Section One and Section Two instruments were color-coded as an aid in distinguishing the agency (SEA) and (ESA) responsible for completing the section.

Field Testing and Field Reviews of the Instruments. As indicated previously, the data instruments were subjected to a relatively extensive field testing and field review schedule. These included: (1) field reviews by members of the National Advisory Panel, and Technical Advisory

Committee; (2) field reviews by 19 SEA state consultants for ESAs; (3) field tests by both SEA officials and ESA administrators in 4 of the target states (New Jersey, New York, Ohio, and Pennsylvania); and, (4) field reviews by 4 project consultants.

The reasons for this extended schedule included: (1) the testing of the construct validity of the instruments; (2) the testing and subsequent modification of data collection procedures; and, (4) the further development of the competencies of the Project Staff regarding all aspects of the data collection plan and data analysis plan.

Forms Clearance Requirement. The RFP stipulated that all data gathering instruments would ultimately require clearance by the U. S. Office of Management and Budget.1/ Planning for this requirement was formally initiated on March 14, 1978, when the Project Staff held a briefing session for the Committee on Evaluation and Information Systems (CEIS) of the Council of Chief State School Officers. Approval by CEIS is ordinarily the first step in the federal review process for educational studies that utilize state education agencies in data collection.

One of the materials prepared by the Project Staff for use at the briefing session was a "Summary Report" highlighting the following: need for the study; general approaches for data collection; scope of work; population to be surveyed; and use of the data. It was decided at this meeting that an ad hoc CEIS Committee would be formed to provide technical assistance to the Project Staff on a final data collection plan to be used in the descriptive study of selected ESA characteristics. The 3 member ad hoc group consisted of: Dr. Sally Pancrazio, Illinois Office of Education; Dr. George Malo, Tennessee Department of Education; and Dr. Bertha McClusky, Missouri Department of Education. Later drafts of the data instruments were submitted to members of the ad hoc group in late May, and a number of valuable suggestions were received from the ad hoc Committee by phone. In early June, it was decided that the special funding arrangements for the project precluded the necessity for formal CEIS approval of the data instruments.

Approaches Used in Data Collection and Verification

General approaches to data collection and verification established in the Technical Proposal and adhered to throughout the duration of the study included: 2/

1. A policy was adopted to work through the state education agency on all aspects of the data collection plan. SEAs are viewed as not only a primary source of information for the study, but also as the key to coordinated data collection and verification. Moreover, if resistance from a state was to occur during any phase of the study, the Project Staff would, of course, yield

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1/ Op. Cit., p. 21.

2/ Ibid., pp. 16-63.

to the state's decision.

2. A second policy adopted called for the use of the most recent year, the 1977-78 school year, as the base year for the collection of information on ESA operations.

3. Another procedural policy was to integrate the data instruments and deliver the integrated collection to the state education agency as a package for their internal use, and to provide for the uniform distribution to, and collection of, the instruments from the ESAs in the state.

4. A fourth procedural policy was the commitment to consult available data bases, so as not to duplicate frequently gathered data from the field.

5. A number of procedural policies bearing on the data verification processes were also established. In the collection stage, the instructions highlighted the importance of providing proper citations regarding the source of the data. This provision was made to facilitate checking the reliability for the data, as well as to impress upon the respondents the importance of accurate information.

6. Closely related, a policy was adopted that called for the original respondent (SEA officials or ESA administrators) to verify the data they provided.

7. The seventh major procedural policy adopted by the Project Staff concerned the provision of technical assistance to SEAs and ESAs in the completion of the basic survey instruments. The Project Staff was made available to the participants for both on-site visitations to SEAs, as well as through other conventional means (e.g., telephone conferences, written communications.) Five on-site visits to SEAs were ultimately made.

Distribution of the Data Instruments. The 2 data instruments were distributed to the SEA Project Coordinators over the 4 month period, July through October, 1978. Deadlines for submission of the completed instruments were postponed on 3 occasions to promote full participation. The final deadline was October 15th. A number of returns, all from individual ESAs, were received after this data, but were not used.

Number of Returns. As shown in Table 5, all SEA Project Coordinators submitted completed Section One instruments on the 31 ESA networks selected for inclusion in the study. Further discussions with SEA Project Coordinators in several states resulted in a decision to exclude information on individual ESA practices (Section Two.) As a result of these decisions, 501 (rather than the potential 619) individual ESAs were requested to participate in the study. Three-hundred-fourteen executive officers, or 62.7 per cent, returned a completed form.

Approaches Used in Data Reporting and Data Analysis

The major procedures used for the reporting and analysis of data provided by the SEA Project Coordinators, were:

1. All information is grouped and reported in 9 data categories. These are: (a) establishment; (b) governing boards; (c) chief executive officers; (d) organization and management; (e) finance; (f) programming; (h) physical facilities; and, (i) SEA-ESA relations.

2. The 31 state networks are further grouped into 1 of the 3 types of ESAs used in this study — the special district ESAs, the regionalized SEA/ESAs, and the cooperative ESAs. This approach is intended to promote 2 objectives: the development of tendencies of ESA networks in each of the 3 classes of service units; and, patterns among the 3 types of service units.

3. Emphasis in the analysis of the data is given to patterns and trends among state networks in each of the 3 types of service agencies, and among the 3 types of service units.

The major procedures used for the reporting and analysis of data received from the 314 responding ESA executive officers were:

1. Information secured from the participating ESAs on individual ESA practices were grouped and reported in the same 9 data categories as above.

2. The aggregated state data on the 314 participating ESAs are further grouped into one of the 3 types of ESAs used in this study. This practice is intended to note trends of ESAs and patterns among them.

3. Aggregated data is reported for all of the participating ESAs in a state network. The number of individual units comprising the aggregated state data is shown in all instances. This practice is followed in order to display the number of responses included in the state total.

4. In some cases, ranges (high-average-low), as well as means, are used to report information on a state network. These practices are intended to aid the display of significant characteristics of an individual state network.

5. In some cases, mean values, as well as composite frequency counts, are used to rank order information on the 3 types of ESAs, and to rank order information across all types of ESA. These approaches are intended to facilitate the display of significant characteristics of the ESA networks.

6. Emphasis in the analysis of the data on the 314 ESAs participating in the study is given to patterns and trends among networks in each of the 3 types of service agencies.

Other Procedures Used. Other procedural approaches used in the analysis of the results of the selected ESA characteristics: (1) the review of drafts of the descriptive study by selected SEA Project Coordinators; (2) the review of drafts of the descriptive study by selected project consultants; and (3) the review of drafts of the descriptive study by members of the National Advisory Panel and Technical Advisory Committee.

VI. OTHER PROCEDURES USED IN THE CONDUCT OF THE STUDY

Introduction

Presented below is a discussion of other major procedural steps taken in the conduct of the study. Considered are: the composition and role of 2 advisory groups to the Project Staff; the composition and role of the "SEA Project Coordinators"; and, the composition and role of consultants to the Project Staff.

The Composition and Role of the National Advisory Panel and Technical Advisory Committee

Consistent with a requirement of the RFP, a National Advisory Panel (NAP) was formed to assist the Project Staff in the conduct of this descriptive study and in the completion of other activities undertaken in the ESA Study Series.1/ In addition, a Technical Advisory Committee (TAC) was formed to supplement the activities of the NAP.

The Composition of the NAP. The RFP stipulated that the membership of the NAP should, at a minimum, include representatives of the following organizations and agencies: Council of Chief State School Officers; AASA/National Organization of County, Intermediate, and Educational Service Agencies; National Council of State Consultants for County, Intermediate and Regional Service Agencies; National Association of State Boards of Education; National School Boards Association; and, the National Institute of Education. Invitations to serve on the NAP were submitted to the executive officials of each of the 6 organizations or agencies in February, 1978. In addition, the Commissioner of Education, U.S. Office of Education, was invited to have that agency represented on the panel in order to promote communication between the NIE funded activities included in the ESA Study Series and those funded by the U. S. Office of Education. All but one of the organizations and agencies accepted the invitation to serve on the Panel.

1. Council of Chief State School Officers
   Bill Israel, Director of Special Projects

2. National Association of State Boards of Education
   Wesley Apker, Executive Secretary

1/ Ibid., p. 5.

3. AASA/National Organization of County, Intermediate and Educational Service Agencies
Urey Arnold, Member of the Council, and Deputy Superintendent, Macomb Intermediate School District, Mt. Clemens, Michigan; and, Walter G. Turner, Secretary (ex-officio status).2/

4. National Council of State Consultants for County, Intermediate, and Regional Service Agencies
Norman L. Larson, President, and CESA Education Supervisor, Wisconsin State Department of Public Instruction.2/

5. U. S. Office of Education
Thomas Burns, Associate Commissioner for School Systems

6. National Institute of Education
David P. Mack, NIE Associate

The Composition of the TAC. In March, 1978, the executive officers of the 2 national professional organizations of ESA interest groups, the AASA/National Organization of County, Intermediate, and Regional Service Agencies, and the National Council of State Consultants for County, Intermediate, and Regional Service Agencies, were invited to name a maximum of 4 representatives of their organizations to serve on the TAC. These were:

1. Calvin Bones, Member of the Council, and Chief Executive Officer, Area Education Agency XIII, Council Bluffs, Iowa

2. Donald Caudell, Member of the Council, and Executive Director, North Central RESA, Morgantown, West Virginia

3. William Inman, Member of the Council, and Superintendent, Cuyahoga County Board of Education, Bedford Heights, Ohio

4. Daniel Rohback, Member of the Council, and Executive Director, Berks County Intermediate Unit, Leesport, Pennsylvania

The names and titles of the representatives selected to represent the SEA consultants professional organization were:

1. Gene Aiken, Director, Office of Regional Services, Georgia State Department of Education

2. Harry Gerlach, Deputy Commissioner for Basic Education, Pennsylvania State Department of Education

3. Sherwood Wilson, Deputy Associate Commissioner, New Jersey State Department of Education

4. Norman L. Larson, President, and CESA Education Supervisor, Wisconsin State Department of Public Instruction

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2/ The inclusion of Walter G. Turner and Norman L. Larson on the NAP as well as the TAC was done to promote communication between the 2 advisory groups.

The Role of the 2 Advisory Groups. A number of critical roles were performed by the 2 advisory bodies, primarily: (1) assisted in the development of the design of the descriptive study, and other projects undertaken in the ESA Study Series; (2) assisted in securing participation of SEAs and ESAs in the study; (3) critiqued data instruments used in the descriptive study, and those developed for other projects undertaken in the ESA Study Series; (4) critiqued drafts of the descriptive study and other reports and papers developed in the ESA Study Series; (5) assisted in the design of all dissemination activities for the ESA Study Series; and, (6) served as resource personnel and discussion leaders at the Invitational Symposium, the culminating activity of the ESA Study Series.

Two joint meetings of the 2 advisory groups were held. The dates of these sessions and the principal activities completed at each were:

April 6, 1978	Major agenda items included: an orientation to the ESA Study Series; an overview of general approaches to be used in the descriptive study and the data collection and data analysis plans; the role of the Panel.
June 20-21, 1979	(Held as part of the Invitational Symposium.) Major agenda included a critique of Chapter Eleven of this report.

Efforts made to promote communication between the Project Staff and the 2 advisory groups included four Project Newsletters over the 15 month project.

The involvement of the 2 advisory groups in the conduct of the ESA Study Series outlined above reflected a commitment by the Project Staff to use the extensive experiences of the individuals selected to serve on the advisory bodies. The mix of perspectives represented in the groups provided a meaningful check on the work of the Project Staff. Equally important, the quality of the work of the ESA Study Series was materially enhanced because of the involvement of these 2 groups.

The Composition and Role of the SEA Project Coordinators Panel

The central role of the participating state education agencies in this study has been mentioned previously. Summarized below are the major functions performed by the SEA Project Coordinators and their names:

1. Project Planning Phase. As discussed elsewhere, a number of SEA officials responsible for ESAs assisted in planning and shaped the direction and focus of the descriptive study. A majority of these individuals were ultimately designated by their chief state school officers as the SEA Project Coordinator.

2. Data Collection Phase. The SEA Project Coordinators were asked to assume a large number of critical roles. They had responsibility for completion of Section One, the distribution and collection of Section Two; and the distribution of other materials. Many of the coordinators provided special briefing sessions for both the SEA and ESA respondents, many promoted participation through special letters of endorsement and through personal contacts, and a number are known to have provided substantial technical assistance to ESA administrators in the completion of Section Two. The Coordinators were also asked to verify the responses of ESA administrators to the Section Two data. And, finally, the Coordinators were asked to submit to the Project Staff selected primary documents on the history and current operations of the ESAs in their state.

3. Data Analysis Phase. The Coordinators were asked to review the first draft of the descriptive study, as well as the first draft of their individual state profile.

The names of the SEA Project Coordinators are:

Alaska	Eula Ruby
California	William Turner
Colorado	Roy G. Brubacher
Connecticut	Gabriel Sinclair
Georgia	Gene Aiken
Illinois	Don Norwood
Indiana	Randy King
Iowa	David J. Gilliland
Maryland	Richard McKay
Massachusetts	John E. Kearney
Michigan	Richard Barnhart
Minnesota	Floyd Keller
Nebraska	Robert Crosier
New Jersey	Sherwood Wilson and William Brooks
New York	Leo Soucy and John Bishop
North Carolina	William W. Peek and Benny Coxton
Ohio	William L. Phillis
Oklahoma	Merlin J. Taylor
Oregon	Milt Baum
Pennsylvania	Robert G. Piatt
South Carolina	Robert Hill
Rhode Island	Donald Gardner
Texas	Ernest W. Champbers
Washington	William Ray Broadhead
West Virginia	James S. Gladwell
Wisconsin	Norman L. Larson

The Composition and Role of the Consultants Panel

In the conduct of this study, extensive use was made of part-time consultants, with competencies required to complement the strengths of the Project Staff in order to meet the goals of the project within the time established for the completion of the work. A list of these individuals and the specializations they possessed that were utilized in this study is shown in Table 6.

VII. ORGANIZATION OF REMAINDER OF REPORT

The remainder of this report is organized into 10 additional chapters. The focal point of each of the next 9 is on one of the 9 principal characteristics considered in the descriptive study: establishment, governing boards, executive officers, organization and management, financial, programs and services, staffing, physical facilities, and SEA-ESA relations. In each chapter, descriptive data is provided for each of the 3 types of ESAs used throughout this study: Type A, the special district ESAs; Type B, the regionalized SEA/ESAs; and, Type C, the cooperative ESAs. A discussion of the findings is presented in the concluding Chapter Eleven.

TABLE 1 NUMBER OF ESAs OPERATING IN 1977-78 IDENTIFIED BY SEA PROJECT COORDINATORS OF TARGET STATES

State	Number of ESAs Operating in 1977-78 Identified by SEA Project Coordinators									
	Type A[a]	Type B[b]				Type C[c]				
		B1	B2	B3	Sub Total	C1	C2	C3	Sub Total	Total
1. Alaska[d]	-	-	-	-	-	5	-	-	5	5
2. California	58	-	-	-	-	-	-	-	-	58
3. Colorado	-	-	-	-	-	17	-	-	17	17
4. Connecticut	-	-	-	-	-	6	-	-	6	6
5. Georgia	-	-	-	-	-	16	-	-	16	16
6. Illinois	88	2	-	-	2	-	131	-	131	221
7. Indiana[d]	-	-	-	-	-	4	-	-	4	4
8. Iowa	15	-	-	-	-	-	-	-	-	15
9. Maryland	-	-	-	-	-	1	-	-	1	1
10. Massachusetts	-	-	-	6	6	44	-	-	44	50
11. Michigan	58	-	-	-	-	-	-	-	-	58
12. Minnesota	-	-	-	-	-	9	-	-	9	9
13. Nebraska	91	-	-	-	-	19	-	-	19	110
14. New Jersey	-	21	4	-	25	-	-	-	-	25
15. New York	44	1	-	-	1	-	-	-	-	45
16. North Carolina	-	-	8	-	8	-	3	-	3	11
17. Ohio	87	13	-	-	13	4	-	65	69	169
18. Oklahoma	-	-	20	-	20	-	-	-	-	20
19. Oregon	29	-	-	-	-	-	-	3	3	32
20. Pennsylvania	29	-	-	-	-	-	-	-	-	29
21. Rhode Island	-	-	-	-	-	9	-	-	9	9
22. South Carolina	-	-	-	-	-	3	-	-	3	3
23. Texas	20	-	-	-	-	-	-	-	-	20
24. West Virginia	-	-	-	-	-	8	-	-	8	8
25. Washington	9	-	-	-	-	-	-	-	-	9
26. Wisconsin	19	-	-	-	-	-	-	-	-	19
Total	547	37	32	6	75	145	134	68	347	969
Per Cent of Total	56.5	-	-	-	7.6	-	-	-	35.8	100.0

Notes:

a) Type A: Special District ESA

b) Type B: Regionalized State Education Agency/ESA
B1: administrative services only; B2: special services only; B3: administrative & general services.

c) Type C: Cooperative ESA
C1: multi-purpose (5 or more services); C2: limited-purposes (not more than 4 services); C3: single-purpose.

TABLE 2 NUMBER OF ESAs, BY TYPE, OFFICIAL TITLES, AND STATUS (COMPLETE STATEWIDE OR PARTIAL STATEWIDE SYSTEM) OF ESAs TO BE INCLUDED IN DESCRIPTIVE STUDY

State	No. of ESA	Type of ESA [a]	Official Title	Extent of Development: Complete Statewide	Extent of Development: Partial Statewide
1. Alaska	5	C1	Regional Resource Centers		X
2. California	58	A	Office of County Superintendent of Schools	X	
3. Colorado	17	C1	Boards of Cooperative Services		X
4. Connecticut	6	C1	Regional Educational Service Centers	X	
5. Georgia	16	C1	Cooperative Educational Service Agencies	X	
6. Illinois	58	A	Educational Service Regions	X	
7. Indiana	4	C1	Educational Service Centers		X
8. Iowa	15	A	Area Education Agencies	X	
9. Maryland	1	C1	Regional Educational Service		X
10. Massachusetts	6	B3	Regional Education Centers	X	
11. Massachusetts	5	C1	Educational Collaboratives		X
12. Michigan	58	A	Intermediate School Districts	X	
13. Minnesota	9	C1	Educational Cooperative Service Units	X	
14. Nebraska	19	C1	Educational Service Units		X
15. New Jersey	4	B2	Educational Improvement Centers	X	
16. New Jersey	21	B1	County Office of Education	X	
17. New York	44	A	Boards of Cooperative Educational Service		X
18. North Carolina	8	B2	Regional Education Centers	X	
19. Ohio	87	A	County Office of Education	X	
20. Ohio	13	B3	Field Services Area Coordinator	X	
21. Ohio	16	B3	Special Education Regional Resource Centers	X	
22. Ohio	3	C1	Regional Educational Service Agencies		X
23. Oklahoma	20	B2	Regional Education Service Centers	X	
24. Oregon	29	A	Education Service Districts	X	
25. Pennsylvania	29	A	Intermediate Units	X	
26. Rhode Island	9	C1	Regional Vocational Technical Facility	X	
27. South Carolina	3	C1	Education Service Centers	X	

TABLE 2 (Continued)

	State	No.of ESA	Type of ESA	Official Title	Complete Statewide	Partial Statewide
28.	Texas	20	A	Regional Education Services Centers	X	
29.	West Virginia	8	C1	Regional Education Service Agencies	X	
30.	Washington	9	A	Educational Service Districts	X	
31.	Wisconsin	19	A	Cooperative Education Service	X	
	TOTAL	619			22	9

a/ KEY:

Type A Special District ESAs (number of states =11; number of networks = 11; number of units = 426)

Type B Regionalized SEA/ESAs (number of states =5; number of networks = 7; number of units = 88)

- B^1 administrative services only
- B^2 general services only
- B^3 administrative and general services

Type C Cooperative ESAs (number of states =11; number of networks = 13; number of units = 105)

- C^1 multi-purpose (5 or more services)
- C^2 limited-purpose (not more than 4 services)
- C^3 single-purpose

TABLE 3 OVERVIEW OF MAJOR PROBES OF THREE DATA INSTRUMENTS USED FOR SELECTED CHARACTERISTICS AND PERCEPTION OF KEY ACTION STUDIES

Instrument Section Number	Part		Topic	To be Completed By: SEA	To be Completed By: ESA	Number of Probes
One	A		Establishment of ESAs of This Type	-		-
		A.1	number of existing ESAs of this type, number of public LEAs and number of member public LEAs.	X		4
		A.2	procedures for establishment of ESAs	X		4
		A.3	criteria for establishment of ESA	X		2
		A.4	primary mission(s) of ESA	X		2
		A.5	methods & procedures for creating, altering & dissolving ESAs	X		12
		A.6	future planning for ESAs	X		2
	B		General Characteristics of ESAs of This Type	-		-
		B.1	legal basis & duties of executive officer & other staff of ESAs	X		5
		B.2	executive officer: position	X		8
		B.3	executive officer: certification	X		3
		B.4	existence of governing boards	X		2
		B.5	selection of governing boards	X		3
		B.6	membership of governing board & term of office	X		5
		B.7	qualification of regular members of governing board	X		2
		B.8	compensation of regular members of governing board	X		3
		B.9	ex-officio membership on governing board	X		5
		B.10	authority of governing board & executive officer over LEAs	X		4
		B.11	methods, authorizations & funding for acquisition of ESA owned facilities	X		4
		B.12	authorizations, restrictions & funding for leases and/or rentals	X		3
	C		Financial Characteristics of ESA of This Type	-		-
		C.1	taxing authority	X		5
		C.2	accounting procedures	X		2
		C.3	auditing procedures	X		7
		C.4	annual budget calendar for services to LEAs	X		2
		C.5	annual budget planning & approval	X		2
		C.6	statewide total expenditures of ESAs in 77-78 & 74-75	X		2
		C.7	state funding of ESAs in 77-78 & 74-75	X		4
		C.8	federal funding of ESAs in 77-78 & 74-75	X		5

TABLE 3 (Continued)

Instrument Section Number	Part	Topic	To Be Completed By: SEA	To Be Completed By: ESA	Number of Probes
		C.9 total funding for public elementary & secondary education in 77-78 & 74-75	X		3
	D	Selected SEA Characteristics & Relationships With ESAs of This Type	-		-
		D.1 selected characteristics of SEA unit or office primarily responsible for ESAs	X		18
		D.2 contacts between SEA & ESA in 77-78 & 74-75	X		3
		D.3 communication between ESAs & SEA	X		6
		D.4 ESA involvement in state regulatory systems for LEAs	X		2
		D.5 required evaluations of ESAs	X		2
		D.6 required planning of ESAs	X		1
		D.7 required multi-ESA districting	X		2
		D.8 criteria for allocation of functions to ESAs	X		2
		D.9 changes in SEA functions due to operation of ESAs in 77-78 & 74-75	X		4
		Sub-Total			143
Two	A	Establishment of This ESA & Selected Characteristics of Regions Served	-	-	-
		A.1 year of establishment		X	1
		A.2 selected characteristics of area served		X	4
		A.3 selected characteristics of public & nonpublic LEAs located in region served		X	4
		A.4 selected characteristics of post-secondary institutions located in region served		X	1
	B	Governance Characteristics of This ESA	-	-	-
		B.1 existence & membership of governing board		X	2
		B.2 selected characteristics of present regular members		X	3
	C	Organization & Management Characteristics of This ESA	-	-	-
		C.1 planning practices used		X	4
		C.2 management information system			1
		C.3 written communication system		X	1
		C.4 management team or executive cabinet practices		X	2
		C.5 use of permanent and/or ad hoc advisory committee(s)		X	1
	D	Financial Characteristics of This SEA	-	-	-
		D.1 general		X	4
		D.2 budget planning for programs & services		X	1

TABLE 3 (Continued)

Instrument Section Number	Part	Topic	To be Completed By: SEA	To be Completed By: LEA	Number of Probes
		D.3 requests, contracts & calendar for services to SEA		X	3
		D.4 revenue sources in 77-78 & 74-75		X	1
		D.5 borrowing practice in 77-78 & 74-75		X	4
		D.6 budget expenditures in 77-78 & 74-75		X	1
		D.7 cost allocation & payment methods		X	1
	E	Programs & Services of This LEA	-	-	-
		E.1 overview of programs & services offered		X	1
		E.2 direct instructional services in 77-78 & 74-75		X	1
		E.3 indirect instructional services in 77-78 & 74-75		X	1
		E.4 management services to LEAs in 77-78 & 74-75		X	1
		E.5 services to SEA in 77-78 & 74-75		X	1
		E.6 services to agencies other than LEAs & SEA		X	1
		E.7 other programming characteristics		X	8
		E.8 locally developed criteria for allocation of function		X	2
		E.9 overview of programs & services to non-public LEAs & others in 77-78 & 74-75		X	5
		E.10 jointly offered programs & services		X	2
	F	Staffing Characteristics of This LEA	-	-	-
		F.1 executive officer: position		X	3
		F.2 executive officer: experience/ background		X	4
		F.3 executive officer: salary		X	4
		F.4 executive officer: evaluation		X	4
		F.5 total staffing patterns in 77-78 & 74-75		X	3
		F.6 certification & tenure requirements, appointment practices, collective bargaining practices, evaluation practices, staff development & salary		X	22
	G	Physical Facility Characteristics of This LEA		-	-
		G.1 characteristics of physical facilities		X	3
		G.2 type of physical facilities, acquisitions, source of funding & joint usage		X	6
		Sub-Total			111

TABLE 4 A COMPARISON OF MAJOR PROBES CITED IN THE REQUEST FOR PROPOSAL, THE TECHNICAL PROPOSAL, AND THE FINAL INSTRUMENTATION USED FOR THE DESCRIPTIVE STUDY OF ESAs.

Theme	Number of Major Probes			
	No. Cited in RFP	No.Cited in Technical Proposal	No.Cited in Data Instruments	
			SEA Level	ESA Level
Establishment Characteristics	7	9	26	10
Governance Characteristics	7	7	47	5
Organization & Management Characteristics	4	13	47	9
Finance Characteristics	6	12	32	15
Staffing Characteristics	7	8	--	40
Physical Facilities & Equipment Characteristics	4	10	--	9
Programs & Service Characteristics	7	9	--	23
SEA-ESA Relationship	Not Applicable	5	40	--

TABLE 5 NUMBER OF USABLE RETURNS OF SURVEY INSTRUMENTS

TYPE OF ESA and State	Section One[a]			Section Two[b]		
	NUMBER MAILED	NUMBER RETURNED	PER CENT RET.	NUMBER MAILED	NUMBER RETURNED	PER CENT RETURNED
TYPE A: SPECIAL DISTRICT ESA						
1. California c/	1	1	-	-	-	-
2. Illinois d/	1	1	-	58	21	36
3. Iowa	1	1	-	15	15	100
4. Michigan	1	1	-	58	24	41
5. New York	1	1	-	44	44	100
6. Ohio (COE)	1	1	-	87	21	24
7. Oregon	1	1	-	29	13	45
8. Pennsylvania	1	1	-	29	22	76
9. Texas	1	1	-	20	20	100
10. Washington	1	1	-	9	9	100
11. Wisconsin	1	1	-	19	19	100
TOTAL	11	11	100	368	208	565
TYPE B: REGIONALIZED SEA/ESA						
1. Massachusetts (REC)	1	1	-	6	6	100
2. New Jersey (EIC)	1	1	-	4	4	100
3. New Jersey (CSS) c/	1	1	-	-	-	-
4. Ohio (FSAC) c/	1	1	-	-	-	-
5. North Carolina d/	1	1	-	7	6	86
6. Ohio (SERRC) c/	1	1	-	-	-	-
7. Oklahoma	1	1	-	20	20	100
TOTAL	7	7	100	37	36	97
TYPE C: COOPERATIVE ESA						
1. Alaska	1	1	-	5	3	60
2. Colorado	1	1	-	17	16	94
3. Connecticut c/	1	1	-	6	2	33
4. Georgia	1	1	-	16	16	100
5. Indiana	1	1	-	4	4	100
6. Maryland f/	1	1	-	1	1	100
7. Massachusetts (EC)	1	1	-	5	5	100
8. Minnesota	1	1	-	9	6	66
9. Nebraska	1	1	-	19	5	26
10. Ohio (RESA)	1	1	-	3	2	66
11. Rhode Island c/	1	1	-	-	-	-
12. South Carolina	1	1	-	3	2	66
13. West Virginia	1	1	-	8	8	100
TOTAL	13	13	100	96	70	729
TOTAL ALL ESAs	31	31	100	501	314	627

Note(s):

a/ Section One: "Information to be completed on the State System of Education Service Agencies completed at SEA level".

Continued

TABLE 5

Notes: (Continued)

b/ Section Two: "Information to be completed on Individual Education Service Agencies (completed at ESA level).
c/ Section Two not distributed at request of SEA.
d/ At request of SEA, only the 58 operating units in the Fall of 1978 were included in the study.
e/ One unit with short operating history excluded from study.
f/ Only one ESA in the state.

TABLE 6 MEMBERS OF CONSULTANTS PANEL

Name	Specializations(s) Utilized
1. Austin, Gilbert R.	research design
2. Blaney, Joseph R.	state school systems
3. Brubacher, Roy	state school systems; management of service agencies
4. Harken, Dennis	management of service agencies
5. Hutchison, Cheryl S.	state school systesm
6. Larson, Normal L.	state school systems; management of service agencies
7. McLoone, Gene	school finance
8. Purcell, James	research design
9. Soucy, Leo A.	state school systems; policy analysis management of service agencies
10. Wilson, Sherry	state school systems management of service agencies
11. Williams, Lois	research design

CHAPTER TWO

SELECTED CHARACTERISTICS OF HOW THE ESA NETWORKS BEGUN AND WHY

I. INTRODUCTION

Although the concept of educational service agencies began in California more than 100 years ago, it is only in recent years, especially the last 15, that the establishment of the agencies could be called a definite trend in American public education. How did this trend develop and why? Using the data from the 31 ESAs in this study, this chapter will highlight:

1. The number of ESAs operating in the 31 networks, the year they began and certain characteristics;
2. How they were established and the agency responsible;
3. If the ESAs replaced another form of school governance;
4. The criteria used for setting the boundaries of the units;
5. The initial and subsequent reasons for the units;
6. The procedures used for expanding the number, altering the boundaries or dissolving the ESAs;
7. And plans for changing the number and/or goals of the ESAs.

II. THE NUMBER OF ESAs OPERATING IN THE 31 NETWORKS, THE YEAR THEY BEGAN AND CERTAIN CHARACTERISTICS

This descriptive study separates ESAs into 3 distinct types--special district, regionalized and cooperative. The earliest efforts were in the special districts, but the regional and cooperative ESAs developed rapidly after the mid-1960s. (See Figure 3 for year of establishment of each of the 31 ESAs and Figure 4 for growth rate of each of the 3 types).

Special District ESAs. The California (1859) and Ohio (1914) networks originated in the early history of public education in those states. The New York (1948) network is the oldest of the recently established ESAs. There was a spurt of growth in the 1960s--Michigan and Oregon (1963), Washington and Wisconsin (1965), and Texas (1967). They were followed by Pennsylvania (1971), and Illinois and Iowa (1975).

Regionalized SEAs/ESAs. New Jersey (1906) has the oldest regional network--the County Superintendent of Schools (CSS). All others began since the mid-1960s--Massachusetts and Ohio (1966), a broader Ohio network in 1969, North Carolina (1971), Oklahoma (1974), and another New Jersey network in 1977, the Education Improvement Centers (EIC).

Cooperative ESAs. These are the youngest in the study. The first ones were established in Nebraska and Colorado (1965), followed by Georgia and Massachusetts (1966), and South Carolina (1967). Eight more networks were established in this decade--Maryland (1970), Connecticut and West Virginia (1972), Indiana and Minnesota (1973), Ohio and Rhode Island (1975), and Alaska (1976).

Local District Membership in ESA.

In the special district ESAs, all local school districts in 8 of the 11 states belong to their ESA networks. (See Figure 5). These states are California, Illinois, Iowa, Michigan, Ohio, Pennsylvania, Texas and Washington. Practices are different in the 4 other states. (See Table 8). In New York, all but 21 of more than 700 LEAs belong to the network. The 5 largest city districts are excluded, but initial membership is voluntary for the other 16. Oregon requires all districts to belong to the network, except for the large city districts. Local district membership is voluntary in Washington and Wisconsin.

Local school district membership is mandatory in 4 of the 7 regionalized networks--Massachusetts, New Jersey, Ohio and North Carolina, and voluntary in the 3 other systems.

Membership is mostly voluntary in the cooperative ESAs. Of the 13 cases, only Ohio mandates local district membership.

Selected Characteristics of the Regions Served by the Units

There are substantial differences in the population served by the special district ESA, according to the descriptive study. The greatest mean population reported was for the 20 units in the Texas network (599,000), followed by Washington (367,000) and Pennsylvania (360,000). (See Figure 6). The smallest was for the 21 units in Illinois that responded to the survey--59,000 each. There were similar differences in the total land area--with the greatest reported by the Illinois network (91,037 square miles) and the smallest reported by Michigan (1,071 square miles). About half of the executive officers who participated in the study classified their region as largely rural (98 out of 204). Seventy said their regionswere a mix of urban, suburban and rural; and 3 described their regions as largely urban.

In the regionalized network, the greatest mean population served by the units was reported by Massachusetts (1,039,000). The smallest was reported by the 20 executives of the Oklahoma units (177,000). Oklahoma also had the greatest land area served by the regional units--6,121 square miles, compared to 1,672 square miles for New Jersey. Most of the executives described their regions as largely rural (15) or a mix of urban, suburban and rural (13).

There were wide differences in the population and land area served by the cooperative ESAs. Also, the Connecticut units reported the greatest mean population--955,000. Alaska and Colorado reported mean

populations of less than 100,000; and Nebraska had the smallest of all--22,000. Minnesota, Alaska and Georgia reported a mean land area of more than 80,000 square miles, while Massachusetts and Connecticut had the smallest. The majority of the cooperatives were described as largely rural (37 of 70). Eighteen reported their regions to be a mix of rural, suburban and urban.

The pattern of wide differences among the ESAs continues when looking at the reports of the number and total enrollment of public and nonpublic schools in the regions served by the units.

In the special district ESAs, Texas had the largest mean of local school districts located in the area served--52. Others with a relatively large number were Washington (31), Iowa (27), and Wisconsin (23). The smallest mean was reported from Ohio (3). Similarly, Texas had the largest mean enrollment in the public schools (136,000), while each of the 21 Illinois units reported mean enrollment of 11,000. There were similar variations in the number and enrollment of the nonpublic schools within the special district ESAs.

In the regionalized SEAs, New Jersey reported the largest mean number of public school districts served by the units (162), compared to the 19 mean number reported by the 6 respondents from North Carolina. New Jersey also had the highest mean total enrollment--342,000. Oklahoma reported the lowest mean enrollment--27,000. Similar variations were reported for the nonpublic schools.

Among the cooperative ESAs, the executive officers of the 6 Minnesota units reported the highest mean number of public school districts served--45. The highest mean enrollment was reported by the Connecticut units--169,000. Nonpublic schools had similar variations.

All public school districts in Iowa, Pennsylvania, Texas, Washington, and Wisconsin belong to the special district ESAs. Over 95 per cent are members in Illinois, and 89 per cent are members in the Ohio network. In most of these states the most frequently reported enrollment size of the member districts was 1,000 to 2,499 students. The exceptions were Iowa and Texas, where the enrollment size was mostly 300 to 599 students; Illinois, where most were 600 to 999 students; and Oregon, where the majority of the districts enrolled less than 300 students. Of the nonmember districts in Illinois, Michigan, Oregon and Texas, almost all had less than 600 pupils, but in Ohio the nonmember districts were larger, ranging from 1,000 to 10,000 pupils.

All public school districts in the New Jersey, Oklahoma and Massachusetts networks belong to their regionalized SEAs, while North Carolina reported 87 per cent membership. Of the networks that reported in Massachusetts and North Carolina, almost half enroll between 1,000 and 4,999 pupils. For Oklahoma, the most frequently reported school district enrollment was from 100 to 299 pupils.

All public school districts in the regions served by the cooperative ESAs in Ohio and South Carolina are members of the networks, while 94 per cent are members in Colorado, according to the ESA executive officers, and the percentages are almost as high in the

member school districts in the Connecticut, Georgia, Indiana, Massachusetts, Ohio, and West Virginia networks. Cooperatives tend to be larger, e.g., the nonmember districts in Georgia enroll between 10,000 and 39,000 pupils. Alaska and Colorado reported nonmember public school districts in nearly every enrollment range.

III. HOW THEY WERE ESTABLISHED

According to the state project coordinators in the 11 states with special district ESAs, a variety of procedures was used to establish the units. Most reported the passage of mandatory legislation, and 3 used permissive legislation (Illinois, New York, and Texas.) Many of the 11 states reported using multi-procedures.

As for approval of establishment, the pattern among the 11 states varied. Six states needed approval by the state legislature. In Texas, local school district approval was needed.

Four of the 7 regionalized SEA networks were established by mandatory legislation. The second most frequently reported procedure was establishment of the units through action by the state agency (4 networks). Procedures for approval also varied. In order of frequency, these were: state education agency approval (6 of the 7); state legislature approval(5); state board of education approval (3); and local district approval (3). The New Jersey EICs needed approval at 4 levels--local districts, the state legislature, the state agency and the state board of education.

Eleven of the 13 cooperative ESAs were begun through the enactment of permissive legislation. Other popular procedures were action by local school district governing boards (7) and action by the state board of education (5). None came about because of mandated legislation or an executive order by the governor. Seven of the 11 needed multi-approvals, excepting Connecticut, Maryland, Nebraska and the Regional Educational Service Agencies (RESA) in Ohio. In Georgia and Rhode Island, approval must come from all 4 levels.

State plans were responsible for the development of the special district ESAs, except in two states (California and Michigan), according to the state project coordinators. In 8 of the networks, the state education agency, state board of education and/or the chief state school officer, were responsible for the development of the state plan.

State plans were used for development of all the regionalized SEAs. Again, the state education agency, state board of education and/or chief state school officer were responsible for development of the state plan in 4 of the regionalized networks, and shared this responsibility for both New Jersey networks.

Seven of the 11 cooperative ESAs reported the use of a state plan (Alaska, Connecticut, Georgia, Indiana, Minnesota, Nebraska and Rhode Island), with the same agencies and/or offices reponsible.

As to the criteria used for establishing the geographic boundaries of the ESAs, the special districts used 1 or more from the list of 11 cited in the survey. The size of the general population and the enrollment in the local school districts were the most frequently mentioned. The size of the general population, enrollment in the school districts, and coterminous boundaries with counties in the region served were the most frequently mentioned criteria. Others used were the number of school districts, financial resource base, travel time from the ESA center, distance in miles from ESA center, coterminous boundaries with former middle governance units coterminous boundaries with other substate units and the presence of a metropolitan area in the ESA. Texas also took into consideration the location of a higher education institution in the area, and Wisconsin considered the location of a higher education institution in the area, and Wisconsin considered the location of at least one adult vocational/technical school.

Five criteria were used most extensively to set boundaries for the regionalized SEAs. There were enrollment of public school districts, number of school districts, number of public school district professional personnel, coterminous boundaries with school districts and coterminous boundaries with counties in the region served. New Jersey and Ohio used multi-criteria more than the other states.

Variety was the pattern for setting boundaries for cooperative ESAs. Seven of the 13 cooperative ESAs in the descriptive study used one or more from a list of 11 criteria. The most frequently mentioned were enrollment of public shcool districts, and coterminous boundaries with local school districts. Two states--Massachusetts and South Carolina--reported using no criteria for establishing cooperative ESAs.

State project coordinators reported that 7 of the special district ESAs networks replaced the county school systems. No regionalized SEA replaced an existing middle echelon unit of government. The coordinators reported that 6 of the cooperative ESAs replaced an existing middle echelon unit of government (Alaska, Colorado, Georgia, Indiana, South Carolina and West Virginia.) In several instances, the cooperative ESAs replaced a single or multi-purpose type of service agency (See Table 9.)

IV. THE INITIAL AND SUBSEQUENT REASONS FOR THE UNITS

The descriptive study question as to the reasons for establishing the special district ESAs was open-ended, and the state project coordinators' comments are as follows:

California	"To superintend the schools.
Iowa	"Service to children."
New York	"Improve educational opportunities in rural areas."

Ohio	"It was difficult for the state to secure valid statistical reports from the schools and to disseminate information from the state to the schools."
Pennsylvania	"To extend equitable educational opportunity to exceptional children, to stimulate the development of vocational education, to provide specialized district personnel, to provide management services, to provide curriculum services, to provide nonpublic school services, to provide pupil personnel services, and to provide other services requested by LEAs."
Texas	"Regional media services, regional educational planning coordination...staff development.. and services for the handicapped."
Wisconsin	"To cooperatively provide to teachers, students, school boards, administrators and others special educational services, including without limitation because of encumberation, such programs as research, special student classes, data collection, processing and dissemination, inservice programs and liaison between the state and local school districts."

In addition, state project coordinators provided materials in 3 other special district networks that explain the purposes of the networks:

Illinois	Educational service regions were established through state-mandated consolidation of counti in 1969. The units were vested with the dutie and powers of the county superintendent that had been defined 15 years earlier. The units serve as a general clearinghouse for many reports and transactions between local districts and the state superintendent.
Michigan	Regional and County Centers replaced single county school systems in 1962 to offer comprehensive programs and services for exceptional children, comprehensive vocational/ technical programs, subject matter curriculum consultant services, data processing services, and educational media programs and consultant services. In addition, they carry out regulatory and administrative functions for the state agency, including enforcement of financial accounting and auditing arrangements, enforcement of compulsory attendance laws and planning for school district reorganization.

Washington — Intermediate offices were established as regional education service agencies to provide cooperative and informational services to local school districts, assist state agencies in the performance of their statutory or constitutional duties, make school districts more adaptable to change economic patterns and educational programs within the state and to provide pupils with equal educational opportunities.

State project coordinators reported no change in the original purposes for the special districts in 3 states--Illinois, Iowa and Wisconsin. Other states reported "evolutionary" changes. In Pennsylvania, for example, the state education agency turned to the intermediate units for state programs because of the department's personnel limitations. Texas reported some evidence of moving the ESAs toward performing regulatory functions. Administrative reorganizations occurred in 2 states. Oregon reported title changes from county office to intermediate education district to education service district. Washington reported a gradual reduction of intermediate units, beginning with 39 county superintendents' offices and ending with 9 educational service districts.

However, 3 state project coordinators reported substantial changes in the original purposes of the special districts. In California, the units now provide direct educational services to school districts with fewer than 900 pupils, approval of local district budgets, approval of local budgeted expenditures and coordination of educational services among local school districts. In Michigan, the ESAs are now responsible for the planning and coordination of state-mandated special education programs. Some now provide, and if approved by voters, can operate area vocational and technical education centers, regional media centers. In New York, the units provide instruction for handicapped for districts where warranted, provide occupational education for high school students, except in the largest cities, and provide computer services.

Statements on purposes for regionalized network, submitted by the state project coordinators include:

New Jersey — "Conducting state responsibilities in each county. Serving as superintendent in non-superintending districts, state approval of contracts requiring state approval, clearinghouse for state forms, procedures and reports, and general supervision of all of the public schools of the district of the county, except those city districts in which there are appointed superintendents."

New Jersey — "On request shall provide support and assistance to local school districts and to members of the teaching staff through the delivery of materials, techniques and expertise, diagnosis of educational problems,

	examination of alternative solutions to such problems, planning, developing and making available to all teaching staff members information and materials pertaining to instructional and management process and programs, staff development and training, consultation with districts during implementation of any improvement plans, extension of other services requested by governing board and approved by the commissioner, and extension of assistance to citizen advisory committees..."
Ohio	"To create a new linkage between state and school districts and to furnish technical assistance to LEAs, to assist LEAs in the initiation and expansion of programs and services for handicapped children through planning and cooperation among school districts..., to provide local districts with resources designed to improve the quality of instruction for handicapped children through the delivery of instructional skill training to teachers..."
Ohio	"To require transportation for eligible nonpublic pupils...Expedite implementation of new legislation and new state department of education programs. Expedite processing of forms and reports to and from state and local officials. Provide resources for improvement of program management for the purpose of simplification and efficiency... Improve cooperation and communication between local education officials, public and nonpublic officials, and state and local officials."
Oklahoma	"To see that every student in the public schools throughout the state has the opportunity to achieve his highest level of learning for the benefit of his future life in society along with student appraisal and screening, media services, prescriptive lesson plans, inservice training and coordination of educational services in the regions."
North Carolina	"In particular the ESAs would provide liaison among SEA, ESAs area post-secondary educational institutions, community organizations and agencies and the general public, coordinate and interpret SEA policies, programs and services to LEAs, assist in identifying and interpreting LEA needs to SEAs,

assist in development and implementation of educational programs which will help equalize educational outcomes for all students, and encourage cooperative action among LEAs where it will result in accrual or mutual benefits."

Oklahoma and North Carolina have made no changes in the original goals for the regionalized SEAs, according to the state project coordinators. Massachusetts reported that the purpose had changed from establishing 2 "field stations" for the department to use of 6 centers that now deliver all programs, process and monitor all grants and serve "as a mini-department." New Jersey also reported a major change that now requires the CSS network to monitor local school districts under the new Thorough and Efficient Education Law. A new duty of the New Jersey EIC network is to provide direct services to handicapped children in nonpublic local schools. The Ohio FSAC network received added responsibilities--foundation subsidy, transportation subsidy, bus purchasing, supervision of pupil transportation, disadvantaged pupil program fund, auxiliary services to nonpublic schools, student driver education, and other duties related to school bus service.

Statements about purposes for the cooperative ESAs included:

Colorado	"The general improvement and expansion of educational services of the public schools..."
Georgia	"To provide educational programs and services across system lines that a single system could not support."
Connecticut	"To facilitate cooperative action by town and regional boards of education to furnish programs and services to participating boards of education."
Maryland	"To help member institutions and their larger public in meeting educational problems of the region."
Massachusetts	"Provide educational programs and services to 2 more member school committees on a cost-effective basis."
Indiana	"To perform educational planning on a cooperative basis and to assist in meeting specific educational needs in participating school districts..."
Ohio	"To be a service agency for local districts in its boundaries, to provide services for all schools in its county boundaries, to continue established programs, to resume

and expand lines of communications between school leadership personnel, parents and citizens, to identify new programs of service that are best supported at the regional level, to continue to develop models that are worthy of reapplication and to communicate successful outcomes..."

Minnesota — "Educational service areas make general and uniform educational opportunities available to all school children in the state. In striving toward this equalizing of educational opportunity, the state encourages cooperation in making available for all students those educational programs and services which may most efficiently and economically be provided by the consortium effort of several school communities..."

Eight of the state project coordinators reported there had been no changes in the purposes of the cooperative ESAs since their beginning (Alaska, Colorado, Connecticut, Georgia, Indiana, Minnesota, Nebraska, and West Virginia.) Ohio added the use of computers to provide services such as cooperative purchasing, and Maryland reported that ESA services are no longer limited to vocational education.

V. PROCEDURES FOR EXPANDING THE NUMBER, ALTERING THE BOUNDARIES OR DISSOLVING ESAs

In 6 states, there are provisions for creating new special district ESAs, according to the state project coordinators (California, Illinois, Ohio, Oregon, Pennsylvania and Washington.) In 4 of them, the provision was incorporated in the legislation.

Only 1 state project coordinator reported a procedure for creating new ESAs in the regionalized system. The source of authority for Ohio was the state education agency policy of the filing of a petition or notion by 1 or more local school district boards to divide an existing ESA.

Legislative provisions provide authority for adding to or creating new cooperative ESAs in Colorado, Connecticut and Maryland. State education agency regulations provide authority in Alaska, Massachusetts and Rhode Island.

All state project coordinators reported that there are provisions for altering the boundaries of the 11 special district ESAs in the descriptive study. This is provided in legislation, except in Ohio and Texas, where state education agency regulations govern the process. Illinois and Oregon supplement the legislative provisions by a hearing conducted by the state board of education. The steps outlined in legislation include a series of hearings at various levels, order by the chief state school officer or state board and petition by one or more local school district boards. Several of the states also require approval by various levels of governance.

As for the regionalized SEAs, all the state project coordinators, except for New Jersey (CSS), reported provisions for altering ESA boundaries, but authorization varies and includes SEA regulations, legislative provision and SEA directive.

Seven state project coordinators reported provisions for altering the boundaries of cooperative ESAs. Four of them (Alaska, Colorado, Connecticut and West Virginia) reported using a petition or motion by 1 or more local school district boards, and subsequent procedures includes hearings, a vote of the school district boards and a vote of the state board.

All special district ESA networks had provisions for changing the membership status of a local school district, according to the state project coordinators. In 6 of the states, the provisions are in the legislation; state education agency regulation is the source in Texas and state board of education action is the source in Washington. The procedures follow generally the same as for altering boundaries and include petitions and hearings and approvals by local, ESA or state boards. In Ohio (COE) and Oregon, the legislature must approve. Iowa and Michigan provide for a referendum and Wisconsin requires state superintendent approval.

State project coordinators reported provisions for changing membership status in regionalized SEAs in Massachusetts (REC), Ohio (FSAC) and Oklahoma. Each one has a different source of authority, however. The steps and the required approvals follow the pattern for other changes.

Various sources provide authority for changing the membership status of cooperative ESAs. Legislative provisions provide authority in Colorado, Connecticut, Indiana and Maryland; ESA by-laws provide authority in Massachusetts and South Carolina. The steps begin with petitions in almost all of the states, with approval of changes required in 6 states by LEA board members, ESA boards or the state board.

All except Illinois have provisions for the dissolution of special district ESAs according to the state project coordinators. The initiatives to dissolve an ESA system vary from state to state and include petitions, hearings, order by the chief state school officer, order by the state board or voter initiative. Different approval processes are used in the states.

Only the Ohio (SERRC) network has a provision for dissolving the regionalized SEAs which is found in the legislation governing the SERRCs.

All except 4 (Indiana, Nebraska, Rhode Island and West Virginia) of the cooperative ESA networks have provisions for the dissolution of the ESAs.

VI. PLANS FOR THE FUTURE

Michigan is the only state reporting plans for changing the number of operating special district ESAs. It plans to reduce the

existing 58 units to 15-25 units. None of the states reported any plans to change the purposes of the special district ESAs.

There were no changes contemplated in the number of ESAs under the regionalized system. However, Ohio plans to alter the Regional Resource Centers to eliminate their roles from program planning and development and instructional resource centers, and adding responsibility for administrating of regional evaluation assessment projects, programming projects and model centers.

As for the cooperative ESAs, Alaska reports that it will add 1 unit and Indiana plans to increase its units by 5, making both of these systems statewide. Alaska plans to make the ESAs assume additional responsibilities as the SEA increases its direct service to local education agencies. Ohio contemplates including the coordination of projects funded by the federal government and the Appalachian Regional Commission in the Regional Educational Service Agencies responsibilities.

VII. SUMMARY OF MAJOR FINDINGS

The beginnings:

1. The establishment of service units is a relatively recent trend in the structure of many of the 26 states included in this survey. A majority of them (23 out of 31, or 76 per cent) were begun after 1964. As a group, the special district ESA networks are the oldest.

2. Ten of the 11 special district networks, and all 7 of the regionalized SEA systems, were statewide in scope in 1977-78. Only 3 of the 13 cooperative ESA networks (Connecticut, Rhode Island and West Virginia) were statewide. Alaska and Indiana plan a complete statewide system.

Type of ESA:

3. Only 3 of the 26 states in the study reported more than one type of ESA network operating in 1977-78. Ohio had 4 ESA systems, with 1 or more of each type of ESA. Massachusetts had both regionalized and a system of cooperative ESAs. The 2 networks in New Jersey were both regionalized systems.

Number of Units:

4. For the state systems operating a complete state network of ESAs, the number of individual units comprising the network varied, according to the type of service unit. The number in regionalized systems ranged from 4 to 21, with an average of 12. The number of units in the 3 complete state cooperative networks ranged from 6 to 9, with an average of 8.

5. For the states operating a complete statewide network of ESAs, the number in the system is generally greater in the older system.

6. All public LEAs were members of ESA networks in 8 of the 11 special district networks, and 97 per cent were members in 2 others. All public LEAs were members of the 7 regionalized systems. In only 1 (Rhode Island) of the cooperative systems were all public LEAs in the state a member of an ESA. In the 31 networks in this study, 93 per cent of the public LEAs were members of an ESA in 1977-78.

7. Membership in an ESA is mandatory for all LEAs in 14 networks and voluntary in 16. Eight special district, 4 regionalized and 1 cooperative system mandates public LEA membership.

8. A substantial majority (289 of 314) of the executive officers participating in the study reported that 95 per cent of the public LEAs in their region were members. Nonmember LEAs tend to be considerably smaller in enrollment or exceptionally larger than members. The most frequent reported enrollment size of member LEAs in 1977-78 was 1,000 to 2,499 pupils, while the most frequently reported enrollment size of nonmember districts was under 599 pupils.

Authority for ESAs:

9. Twenty-eight of the networks were established through the passage of legislation. In 14 cases, the legislation mandated the networks; 18 networks reported multiple establishment procedures.

10. A state plan was used for the establishment of 10 of the 11 special district networks, all regionalized networks and about half of the cooperative networks.

Criteria for boundaries:

11. The most frequently reported criteria used in establishing geographic boundaries was enrollment in public LEAs (cited 14 times.) Public LEA enrollment size was most frequently cited for special district and cooperative networks, while distance in travel time from the ESA center to member LEAs was most frequently cited for regionalized networks.

Replacing of other units:

12. Seven special district networks replaced an existing middle-level unit--in each case a county system. Six cooperative networks replaced a middle level unit (2 of these were also counties.) Five cooperative networks replaced other educational agencies.

Purposes for ESAs:

13. While variations exist in the language used to indicate the purposes of the ESA networks, a number of common themes are evident. References most typically used have to do with improving the quality of education generally, or improving the quality of specific programming (e.g., handicapped children or vocational and technical education.)

Changes planned:

14. No major changes in the mission of the ESA networks from the time they began were reported by a slight majority (14 of 26) of the responding SEA state project coordinators. Major additions tended to relate to the use of the networks in implementing new state mandates.

15. Few changes are planned in the number of existing units in most of the networks. Two states--Alaska and Indiana--plan to increase the number in order to establish a complete state network. Michigan plans to decrease its ESAs from 58 units to no more than 25.

16. No changes in the primary goals of the ESA networks are planned in any state.

TABLE 7 YEAR OF INITIAL ESTABLISHMENT OF NETWORKS, NUMBER OF UNITS IN NETWORK AND TITLE OF UNITS

Type of ESA and State	Number of Units in State	Year Initially Established	Title of Units
Type A: SPECIAL DISTRICT ESA			
1. California	58	1859	Office of County Superintendent of Schools
2. Illinois[a]	58	1975	Educational Service Region
3. Iowa	15	1975	Area Education Agency
4. Michigan	58	1963	Intermediate School District
5. New York	44	1948	Board of Cooperative Educational Services
6. Ohio (COE)	87	1914	County Office of Education
7. Oregon	29	1963	Education Service District
8. Pennsylvania	29	1971	Intermediate Unit
9. Texas	20	1967	Regional Educational Service Center
10. Washington	9	1965	Educational Service District
11. Wisconsin	19	1965	Cooperative Education Service Agency
TYPE B: REGIONALIZED SEA/ESA			
1. Massachusetts (REC)	6	1966	Regional Education Center
2. New Jersey (EIC)	4	1977	Educational Improvement Center
3. New Jersey (CSS)	21	1906	County Superintendent of Schools
4. Ohio (SERRC)	16	1969	Special Education Regional Resource Center
5. Ohio (FSAC)	13	1966	Field Services Area Coordinator
6. North Carolina	8	1971	Regional Education Center
7. Oklahoma	20	1974	Regional Education Service Center
TYPE C: COOPERATIVE ESA			
1. Alaska	5	1976	Regional Resource Center
2. Colorado	17	1965	Boards of Cooperative Services
3. Connecticut	6	1972	Regional Educational Service Center
4. Georgia	16	1966	Cooperative Education Service Agency
5. Indiana	4	1973	Education Service Center
6. Maryland	1	1970	Regional Education Service Agency
7. Massachusetts (EC)[a]	44	1966	Educational Collaborative
8. Minnesota	9	1973	Educational Cooperative Service Unit
9. Nebraska	19	1965	Educational Service Unit
10. Ohio (RESA)[a]	4	1975	Regional Education Service Agency
11. Rhode Island	3	1975	Regional Vocational Technical Facility
12. South Carolina	3	1967	Education Service Center
13. West Virginia	8	1972	Regional Education Service Agency

Note(s): (a) As established previously, only the 58 Illinois ESAs in operation in the Fall of 1977, 5 of the 44 Cooperative ESAs in Massachusetts, and 3 of the 4 other RESAs were asked to participate in the descriptive study.

FIGURE 3

YEAR OF ESTABLISHMENT OF THIRTY-ONE ESA NETWORKS INCLUDED IN DESCRIPTIVE STUDY

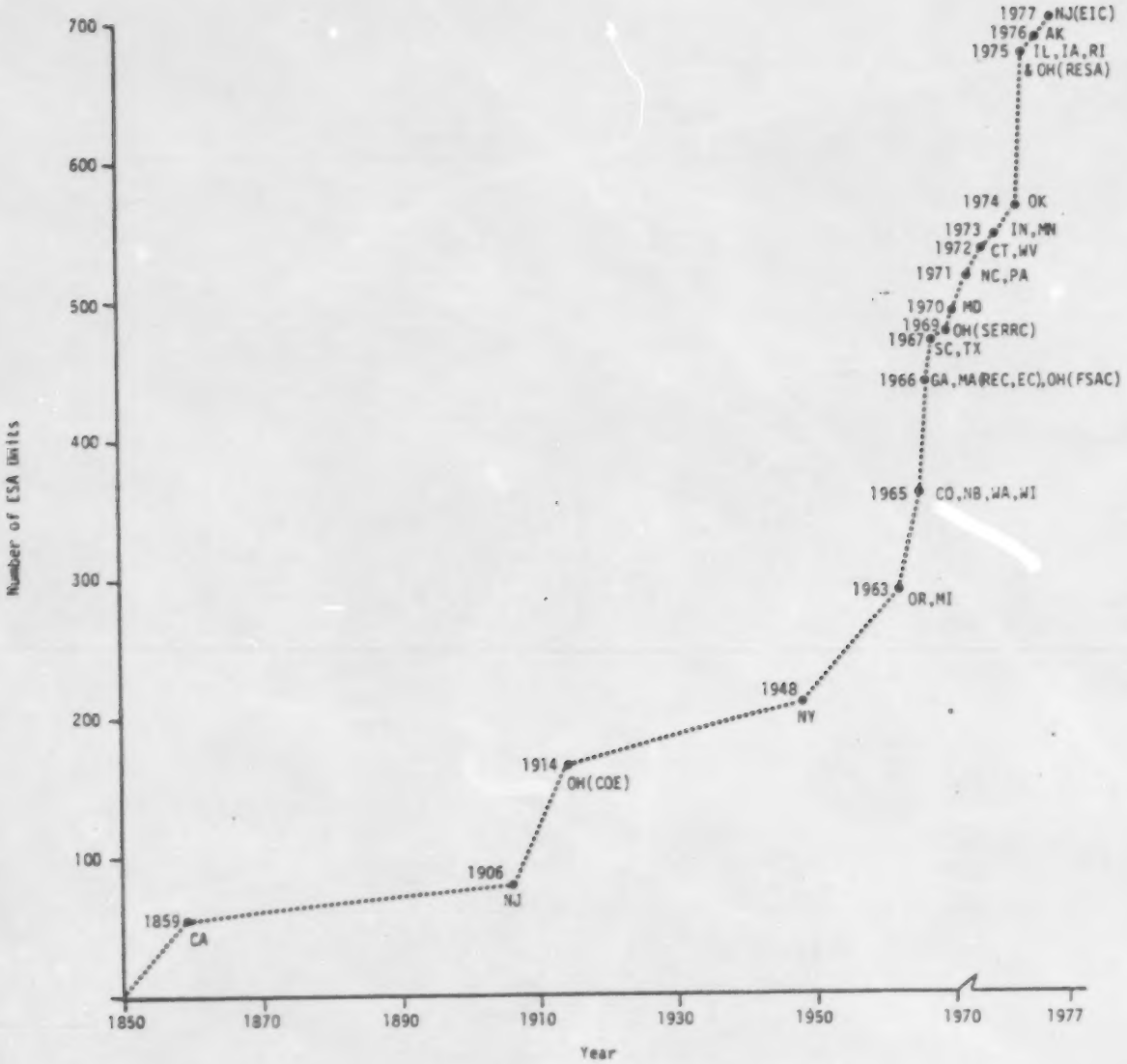


TABLE 8 LEGAL BASIS OF PUBLIC LEA MEMBERSHIP IN ESA

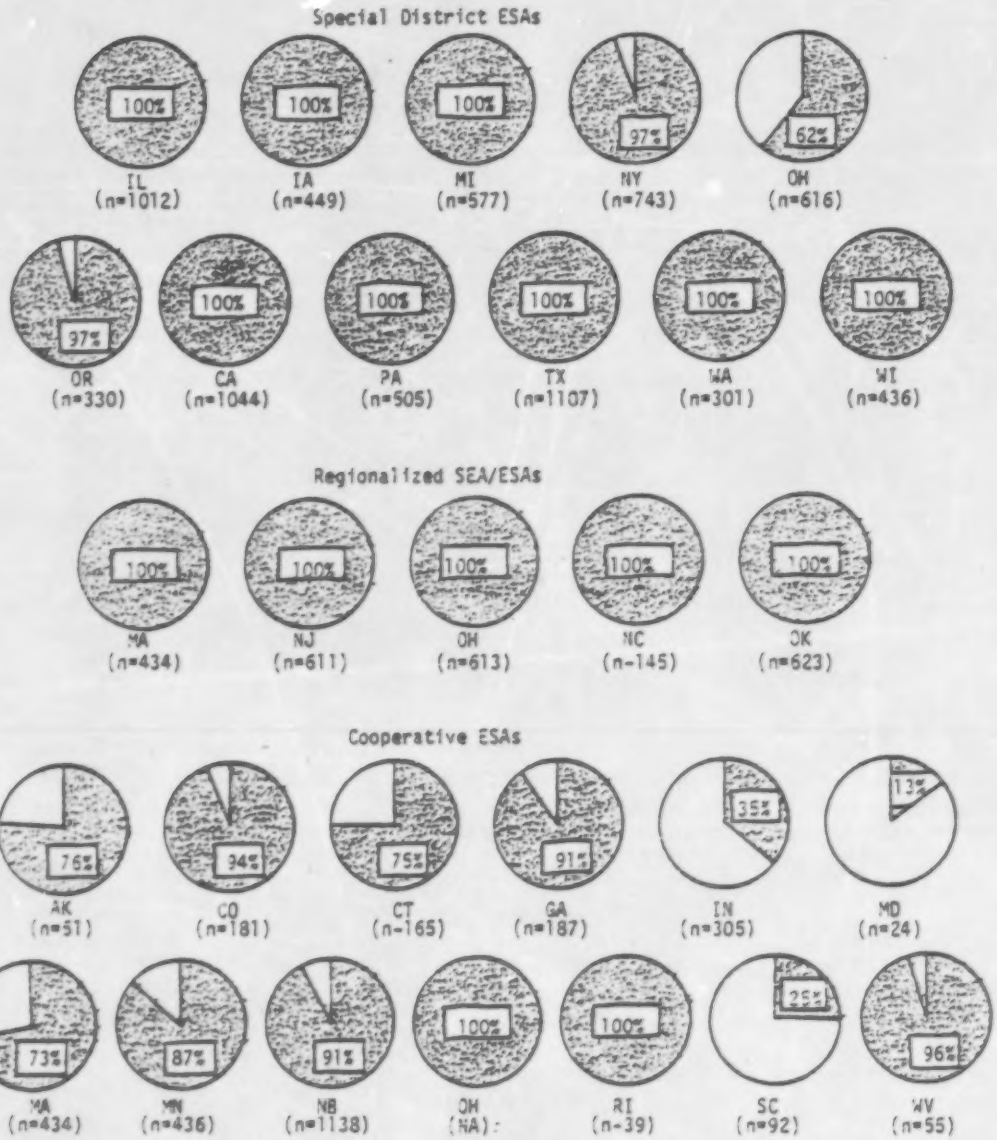
TYPE of ESA and STATE	Mandated		Permissive	
	For All LEAs	For All Except Large City LEAs	For All LEAs	For All Except Large City LEAs
TYPE A: SPECIAL DISTRICT ESA				
1. California	X	-	-	-
2. Illinois	X	-	-	-
3. Iowa	X	-	-	-
4. Michigan	X	-	-	-
5. New York	X[a/]	-	-	X[a/]
6. Ohio (COE)	X	-	-	-
7. Oregon	-	X	-	-
8. Pennsylvania	X	-	-	-
9. Texas	X	-	X	-
10. Washington	-	-	X	-
11. Wsiconsin	-	-	-	-
Total	9	1	2	1
TYPE B: REGIONALIZED SEA/ESA				
1. Massachusetts (REC)	X			
2. New Jersey (EIC)	-	-	X	-
3. New Jersey (CSS)	X	-	-	-
4. Ohio (SERRC)	-	-	X	-
5. Ohio (FSAC)	X	-	-	-
6. North Carolina	X	-	-	-
7. Oklahoma	-	-	X	-
Total	4	-	3	-
TYPE C: COOPERATIVE ESA				
1. Alaska	-	-	X	-
2. Colorado	-	-	X	-
3. Connecticut	-	-	X	-
4. Georgia	-	-	X	-
5. Indiana	-	-	X	-
6. Maryland	-	-	X	-
7. Massachusetts (EC)	-	-	X	-
8. Minnesota	-	-	X	-
9. Nebraska	-	-	X	-
10. Ohio (RESA)	X	-	-	-
11. Rhode Island	-	-	X	-
12. South Carolina	-	-	X	-
13. West Virginia				-
Total				-
Total All ESAs		1		1

Notes:

a/ Mandatory for all dependent districts; voluntary for independent districts; 3 largest districts excluded.

FIGURE 5

PERCENT OF TOTAL PUBLIC LEA MEMBERS IN ESA NETWORKS IN 1977-78



n = Total Number of LEAs

FIGURE 6

MEAN GENERAL POPULATION IN 1975 OF REGION SERVED BY ESA NETWORKS

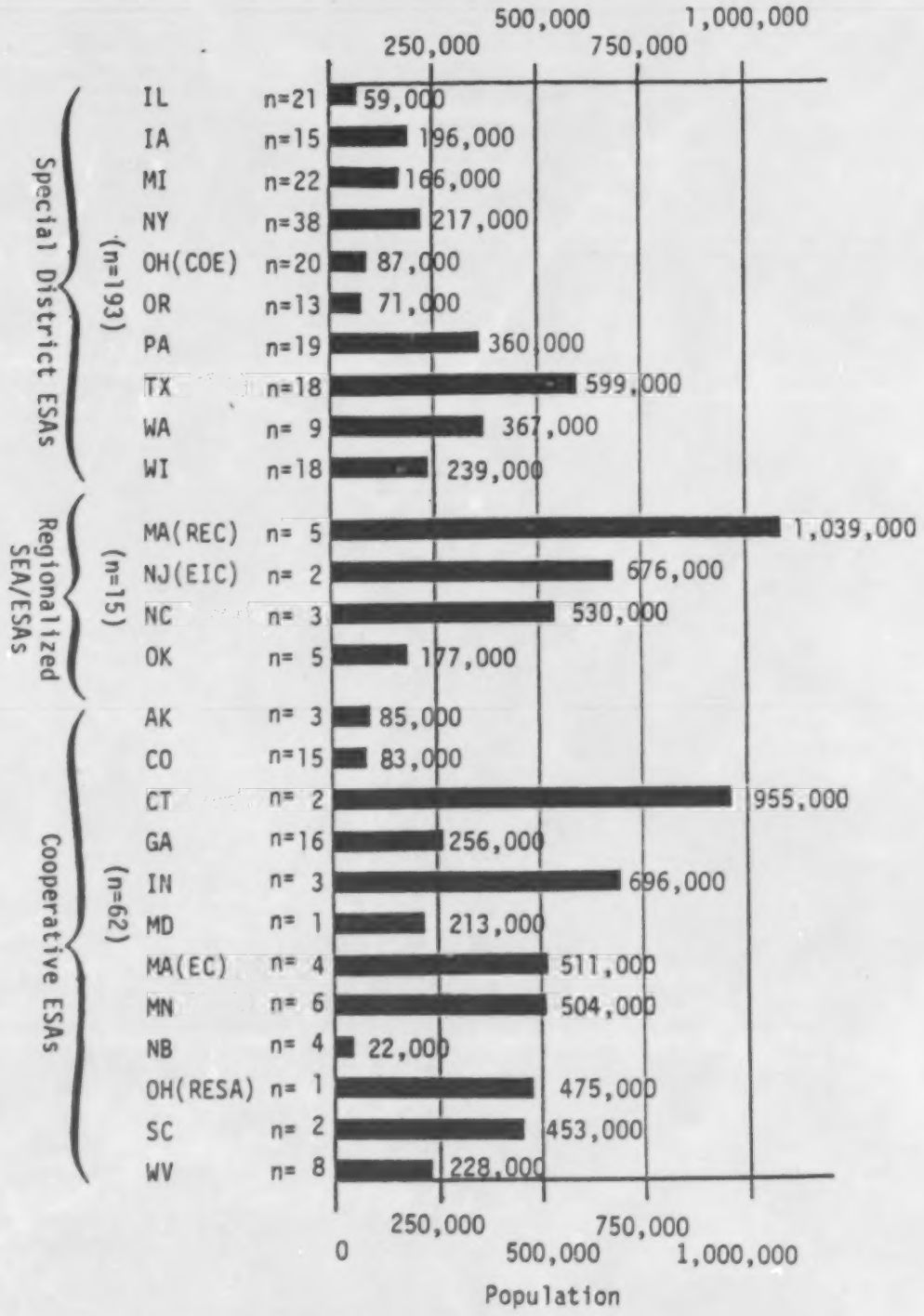


FIGURE 7

MEAN DISTANCE FROM ESA CENTRAL OFFICE TO PUBLIC LEA (IN MILES)

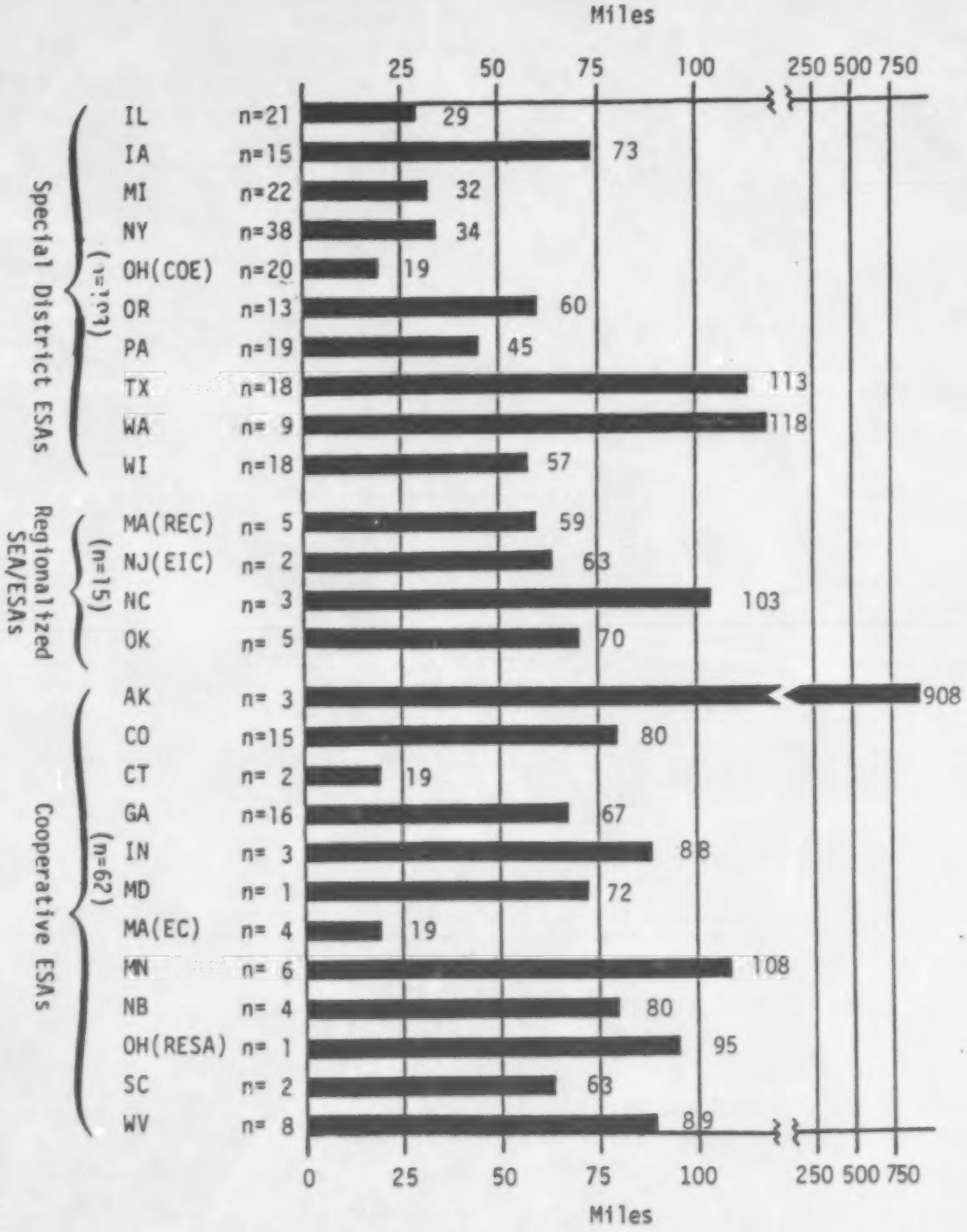


TABLE 9

NUMBER OF ESA NETWORKS THAT REPLACED AN EXISTING MIDDLE ECHELON UNIT OF SCHOOL GOVERNMENT AND UNIT REPLACED

Type of ESA AND State	Present ESA Network Replaced on Existing System		Type of Unit Replaced			
	Yes	No	County School System	Title III ESA	Type B ESA	Type C ESA
TYPE A: SPECIAL DISTRICT ESA						
1. California	-	X	-	-	-	-
2. Illinois	X	-	X	-	-	-
3. Iowa	X	-	X	-	-	-
4. Michigan	X	-	X	-	-	-
5. New York	-	X	-	-	-	-
6. Ohio (COE)	-	X	-	-	-	-
7. Oregon	X	-	X	-	-	-
8. Pennsylvania	X	-	X	-	-	-
9. Texas	-	X	-	-	-	-
10. Washington	X	-	X	-	-	-
11. Wisconsin	X	-	X	-	-	-
Total	7	4	7	-	-	-
TYPE B: REGIONALIZED SEA/ESA						
1. Massachusetts (REC)	-	X	-	-	-	-
2. New Jersey (ZIC)	-	X	-	-	-	-
3. New Jersey (CSS)	-	X	-	-	-	-
4. Ohio (SERRC)	-	X	-	-	-	-
5. Ohio (FSAC)	-	X	-	-	-	-
6. North Carolina	-	X	-	-	-	-
7. Oklahoma	-	X	-	-	-	-
Total	-	7	-	-	-	-
TYPE C: COOPERATIVE ESA						
1. Alaska	X	-	-	-	X	-
2. Colorado	X	-	X	-	-	-
3. Connecticut	-	X	-	-	-	-
4. Georgia	X	-	-	-	-	X
5. Indiana	X	-	X	-	-	-
6. Maryland	-	X	-	-	-	-
7. Massachusetts (EC)	-	X	-	-	-	-
8. Minnesota	-	X	-	-	-	-
9. Nebraska	-	X	-	-	-	-
10. Ohio (RESA)	-	X	-	-	-	-
11. Rhode Island	-	X	-	-	X	-
12. South Carolina	X	-	-	-	-	X
13. West Virginia	X	-	-	-	-	X
Total	6	7	2	-	2	3
Total All ESAs	13	18	9	-	2	3

CHAPTER THREE

SELECTED CHARACTERISTICS OF THE GOVERNING BOARDS OF EDUCATION SERVICE AGENCIES

1. INTRODUCTION

Almost all of the ESAs, except the regionalized ones, have a governing board. This chapter looks at selected characteristics of the 2 boards, including:

1. The number of ESAs having governing boards, their legal basis and the method of selecting members.

2. The size of the governing boards, terms of office, qualifications for and compensation to members.

3. Selected demographic characteristics of those serving on the governing boards at the time of the survey.

4. The use of ex-officio members, their legal basis and the method of selecting ex-officio representatives, and

5. The authority of governing boards over constituent local education agencies.

II. NUMBER OF UNITS HAVING GOVERNING BOARDS AND METHOD OF SELECTION

All 11 of the special district ESAs have a governing board (See Figure 8), and in all cases the legal basis for the boards is the enabling legislation establishing the units. In all cases, also, members of the boards are elected. However, in California, 1 of the 58 boards of the county school systems is appointed by the County Board of Supervisors.

Three of the 7 regionalized networks have a governing board (Massachusetts, New Jersey's EICs and the Ohio SERRCs.) In Massachusetts, the enabling legislation calls for a board, and in the other 2 states, they were created because of SEA policies. In all 3 cases, the board members are appointed.

All 13 of the cooperative networks have a governing board, except Rhode Island. In 8 of the 12, provisions for governing boards are in the enabling legislation. Eight of the systems have appointed members; the remaining 4 elect their members.

Four states with special district ESAs select board members in at-large general elections (California, Illinois, Michigan and Ohio.) Oregon has general elections, but specific director districts are based on equal population. In the other 7 networks, members of LEA boards vote on ESA board members. The ESA boards in New York, Washington and Wisconsin are elected at annual meetings in which individual members of LEA boards have an equal vote.

No state project coordinators reported the use of election procedures for selecting regionalized ESA board members.

Two of the 3 cooperative ESA networks that elect board members use general election procedures, according to available data. Minnesota holds at-large elections, and Nebraska uses a combination of at-large and director district elections.

In only the 1 unit in California (mentioned above) is the appointment method for board members used in the special district ESAs. Various methods of appointment are used in selecting members of the regionalized networks that have governing boards. In Massachusetts, the members are nominated by constituent LEAs and appointed by the chief state school officer and the state board of education. For the New Jersey EIC network, professional organizations nominate members to the chief state school officer, who appoints them. LEA chief executive officers have equal vote in the appointment for the Ohio SERRC network.

The cooperative ESAs also use various methods, if their governing boards are appointed. The most popular method is resolutions passed by LEA governing boards, with one vote per member (used in Alaska, Georgia, Massachusetts, and the Ohio RESAs.) In West Virginia, the authority is totally with the local school boards. In South Carolina, LEA executive officers have a weighted vote in appointing ESA board members. Each participating board of education appoints a member for the ESA board in Connecticut, and each LEA board appoints one of its members to serve on the ESA boards in Colorado.

III. SIZE OF MEMBERSHIP, TERM OF OFFICE, QUALIFICATIONS AND COMPENSATION OF BOARDS

In 4 states with special district ESAs, state projects coordinators reported a specific number of members for ESA governing boards (see Figure 9), ranging from 7 in Oregon and Texas to 21 for the Ohio COE network. According to reports from 6 other states, the governing boards have varying numbers ranging from very few in Michigan (5 to 7 members) to many in Illinois (6 to 21 members.) The number of members is prescribed by SEA regulations and enabling legislation in California and Texas. In Iowa, the legislation prescribes the same number as the community college governing boards serving the same region (9 by 1981.) In the remaining states, the number of board members is prescribed in enabling legislation.

State project coordinators for 2 regionalized networks reported specific numbers (Oklahoma with 7 and North Carolina with 19.) According to the New Jersey project coordinator, the EIC network has a range of members -- 19 to 24. The number of board members is prescribed by SEA regulations for the Ohio SERRC network, fixed at 25 or 26 by board policy for each of the Massachusetts REC networks, and prescribed in the enabling legislation for the New Jersey EIC network.

State project coordinators reported a specific number of board members for cooperative networks in Maryland (8 for the one agency) and Ohio 21. The range in the 10 remaining networks was substantial. The number of board members is prescribed by SEA regulations in Indiana and West Virginia; in the

enabling legislation for Alaska, Connecticut, Minnesota, Nebraska and Ohio; by enabling legislation and SEA regulations in Georgia, and by enabling legislation with one member from each LEA in Colorado and Massachusetts. The number is prescribed in the agency's by-laws in Maryland. In South Carolina, it is decided by option of the ESA board and by enrollment size of LEAs.

The prevailing term of office for governing board members of special districts is 4 years (California, Illinois, Ohio, Oregon and Washington). The range, however, is from 1 year in Wisconsin, to 5 years (See Table 10) for New York and 6 years for Michigan. Nine states specify the term of office in legislation and SEA regulation in California. None of the networks limit the number of terms of office of ESA board members.

In the regionalized systems, state project coordinators reported 1 year terms for the Ohio SERRC members and 3 year terms for the Massachusetts and New Jersey members. In the latter, the length of term is specified in the legislation. Ohio places no limits on the number of terms for members. New Jersey's members are restricted to 2 consecutive terms by legislation, and Massachusetts board members are restricted to 3 consecutive terms by the enabling legislation.

Cooperative ESAs have a variety of terms of office. State project coordinators reported 1 year terms in Alaska and Georgia, both 1 year and 2 year terms in West Virginia, 2 year terms in Indiana and Ohio and 4 year terms in Nebraska. Terms on Connecticut and Georgia ESA boards correspond to terms of members on LEA boards. Minnesota has a combination of lengths of terms. In Rhode Island, the term is for duration of LEA membership, and in Maryland the term is while serving as an LEA superintendent or as president of a higher education institution.

In the special district ESAs, 10 of 11 reported qualification requirements for ESA governing board members (Oregon excepted.) Voter resident of a member LEA was the only qualification requirement reported for California, New York, Ohio and Washington. Voter resident of the ESA was the only requirement reported in Iowa, and school elector of a constituent LEA was the only requirement in Michigan. In Texas, board members must reside or work in the ESA region and have no interest directly or indirectly in a claim against the ESA. Legislation is the basis for qualification requirements in 9 states.

Massachusetts requires no qualifications of an individual board member in its regionalized system. However, 2 networks reported multiple qualifications. In New Jersey, members must reside or work in the region, have no interest directly or indirectly in a claim against the board, and no more than 3 from each county served by the ESA may serve at one time. Also, they must be from one of the categories prescribed in the legislation. Ohio requires boards to have 2 parents of handicapped children, 1 member from the county board of managers, 1 member from nonpublic schools and a member of a university faculty (optional.) Enabling legislation prescribes qualifications in New Jersey and SEA regulations set them for Ohio.

All cooperative ESA networks in the study have set out qualifications for board members, according to the state project coordinators. Membership on an LEA board is required in Alaska, Colorado, Connecticut, Georgia, Massachusetts,

Minnesota, Ohio and West Virginia. Administration of an LEA is required in Alaska, Georgia, Indiana, Massachusetts, South Carolina and West Virginia. Residency in a member county is required in Nebraska, and voter resident of a member LEA is required in Ohio. Maryland boards must include LEA superintendents and presidents of higher education institutions; Ohio boards must include the State Education Appalachia Regional Commission program manager and a representative from the Department of Education; and representative of the state education agency is a member of the governing boards in West Virginia. Enabling legislation is the legal basis for most of these qualifications.

All governing board members for special district ESAs receive compensation (except in Oregon) according to the state project coordinators. Michigan provides a per diem compensation of up to $30 a meeting (with a limit of 52 meetings), while Ohio's limit is $40 a meeting. Travel costs for all official ESA activities are paid in Wisconsin, travel costs/other expenses for ESA activities are paid in Michigan, New York, and Washington; and travel costs/other expenses on a per diem rate set by individual boards are paid for all official ESA activities in Texas. Compensation practices are included in enabling legislation for 7 networks and in SEA regulations for 3.

Three state project coordinators reported provisions for compensating members of regionalized ESA boards. Travel costs/other expenses are reimbursed for the Ohio board members for attending ESA meetings. Travel costs/other expenses are provided Massachusetts and New Jersey board members for all official ESA activities. SEA regulations set out compensation for 2 networks; enabling legislation provides it in the third.

Seven cooperative networks have provisions for compensation of governing board members -- Alaska, Colorado, Minnesota, Nebraska, Ohio, South Carolina, and West Virginia. There are no provisions stated for compensating board members in Connecticut, Georgia and Maryland. Individual boards in Indiana determine compensation provisions. Board meeting expenses/travel are covered for the Alaska, Minnesota, Ohio and South Carolina members. Travel/other expenses for all ESA activities are covered in Colorado, Minnesota, Nebraska and West Virginia. LEAs determine reimbursement in Georgia. Compensation practices are included in the enabling legislation in 4 networks and in ESA by-laws in 3 networks.

IV. SELECTED DEMOGRAPHIC CHARACTERISTICS OF MEMBERS OF ESA BOARDS IN 1977-78

The study selected 4 characteristics of board members for survey -- age range, ethnicity, and prior experience on other educational bodies. (See Table 11). The characteristics, as noted below, were very similar in all 3 types of ESAs.

In the special districts, a majority of the board members for which data was obtained are 35 years of age or older. Male board members outnumber female members substantially -- 83 per cent to 17 per cent. Wisconsin had the highest percentage of female board members -- 31 per cent. Approximately 96 per cent of the board members were of Caucasian background. The next largest group on the 11 ESA networks was Native American, and one state, Pennsylvania, accounted for most of these. ESA board members tend to have a variety of

experiences on other educational bodies before coming to the ESA boards, primarily as local school district board members.

The regionalized ESA board members also were in the middle and upper age categories (only 30 of the 320 members in the survey were 34 or under.) Male board members outnumber female members by 84 per cent to 16 per cent, and 2 of the 4 networks reportedly had no female members in 1977-78. The members were predominently Caucasian, with only 2 other ethnic groups -- Spanish surname and black -- having any representation. Most members had prior experience of the same type -- again, primarily on local boards of education.

A substantial majority of the members of cooperative boards are in the middle and upper age groups. The sex distribution is the same for the other 2 types, with 84 per cent of the board members male. They also are predominently Caucasian and have served on other similar bodies, especially local school boards.

V. NUMBER, SELECTION AND LEGAL BASIS FOR EX-OFFICIO BOARD MEMBERS

Ex-officio board members were not particularly common on the ESA governing boards. No state project coordinator reported such representation on special district boards. Only Massachusetts reported provisions for ex-officio representation on regionalized boards. There, ESA board policy says that ex-officio board members must be appointed by the state board of education. Project coordinators reported that 4 cooperative networks provided for regular ex-officio board members. Some Indiana networks provide for the immediate past president of the board as an ex-officio member. In Massachusetts, one ex-officio member is prescribed in enabling legislation, to be appointed by the state board of education or the regional education center director of the Department of Education. Georgia SEA regulations permit the chief state school officer to appoint 1 ex-officio member, and Maryland ESA by-laws prescribe the appointment of 3 ex-officio members, who may be an LEA superintendent or the executive director of the network.

VI. AUTHORITY OF GOVERNING BOARDS OVER CONSTITUENT PUBLIC SCHOOL DISTRICTS

No regionalized or cooperative ESA board was reported to have legal authority over constituent LEAs. State project coordinators reported that in 3 states -- California, Iowa and Ohio -- special district ESA governing boards do have legal authority over the constituent LEAs. The source of the authority is enabling legislation in Iowa and Ohio, and both enabling legislation and SEA regulations in California. The ESA governing boards have no legal authority over constituent LEAs in the other states with special district ESAs, according to the project coordinators. (See Table 12)

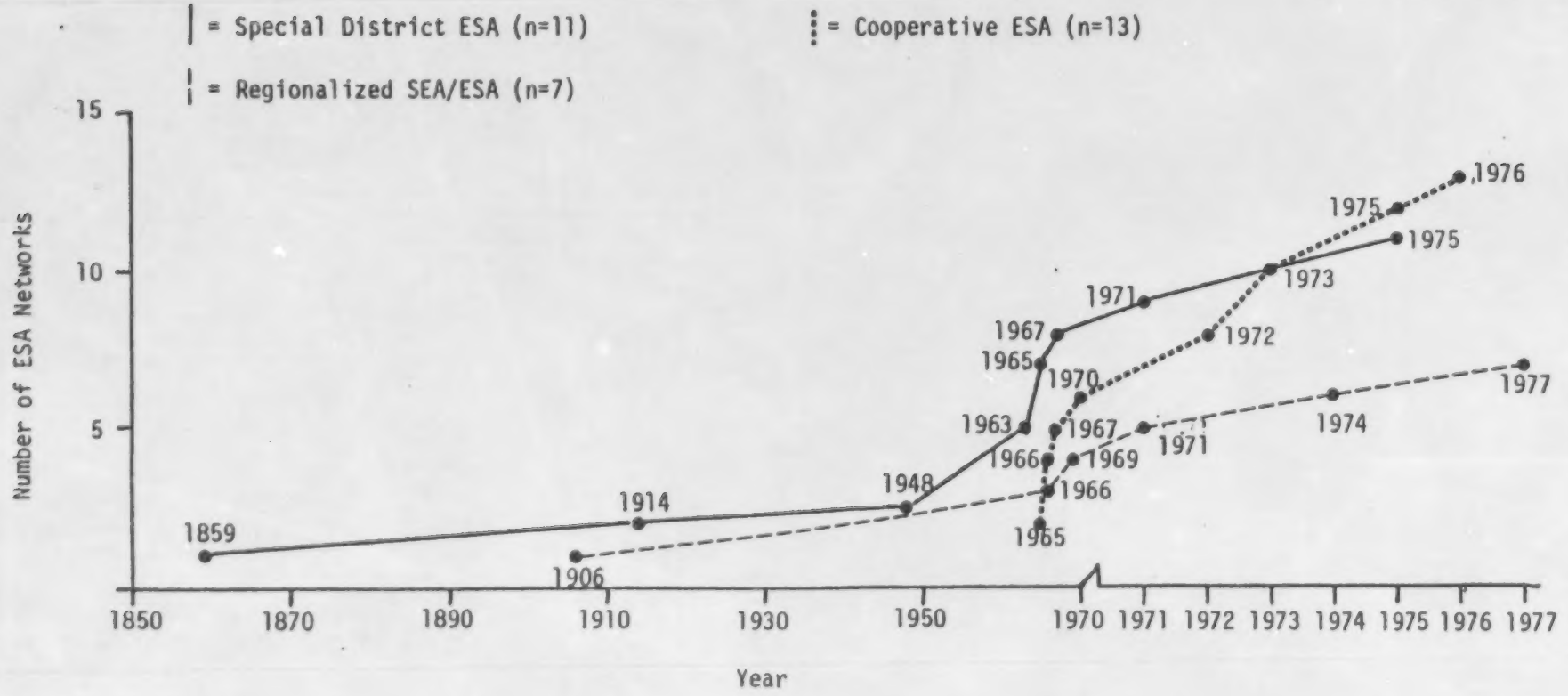
VII. SUMMARY OF MAJOR FINDINGS

Number and Selection

1. A substantial majority (26 of 31) of the networks had a governing board in 1977-78 including all 11 of the special district ESAs, 3 of the 7 regionalized systems and 12 of the 13 cooperative ESAs.

FIGURE 4

YEAR OF ESTABLISHMENT OF THIRTY-ONE SPECIAL DISTRICT ESA, REGIONALIZED SEA/ESA, AND COOPERATIVE ESA NETWORKS INCLUDED IN DESCRIPTIVE STUDY



2. There are differences among the 3 types of ESAs as to how they select board members. Election procedures were used exclusively in 11 special district networks. All 3 of the regionalized networks with governing boards had appointed members. The appointment process prevailed in the procedures for cooperative networks (8), but elective methods were also used.

Size of Boards:

3. Governing boards vary greatly in size, ranging from 6 to 26 members. Six networks reported a uniform number of board members for all ESAs. All other networks reported a wide range in the number of board members.

Length of Term:

4. The most frequent length of term for board members was 4 years. Special district ESA governing board member terms usually are longer than those of cooperative governing boards.

Compensation for Board Members:

5. Twenty of the 31 networks had provisions for compensating governing board members for expenses incurred on official board duties. The most frequent approach was the compensation of members for travel costs and other expenses incurred while either attending board meetings or participating in all official board activities. Per diem costs in lieu of expenses were reported by 2 networks and per diem costs in addition to expenses was reported for 1 network.

Sex and Ethnicity:

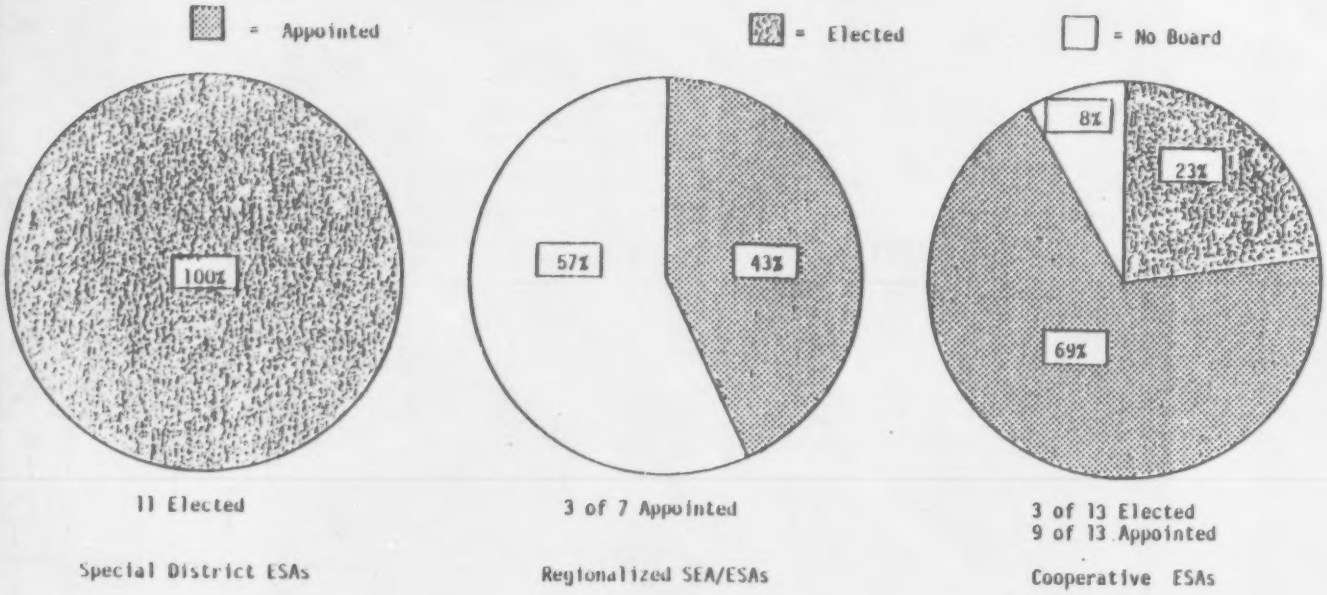
6. ESA executive officers reported that 83 per cent of the governing board members were male, with 2 networks completely male. The board members were 95 per cent Caucasian, with virtually 100 per cent Caucasian governing boards reported for 15 networks. About 1.5 per cent of the governing boards were black, and less than 1 per cent were Spanish surname.

Authority over Local Public Districts:

7. ESA governing boards had no authority over constituent local school districts in 23 of the 26 governing boards, for which data was reported. The only place where authority was reported was for special district ESA systems. Ohio had the most complete authority -- its boards can approve LEA operations in the areas of programs, budget, building plans, reorganization plans, interagency agreements, transportation programs, school lunch programs, and certified staff. Authority was considerably more restricted in the 2 other states where ESAs had authority -- Iowa and Michigan.

FIGURE 8

NUMBER OF NETWORKS HAVING GOVERNING BOARD AND METHOD OF SELECTION



11 Elected

Special District ESAs

3 of 7 Appointed

Regionalized SEA/ESAs

3 of 13 Elected
9 of 13 Appointed

Cooperative ESAs

FIGURE 9

NUMBER OF MEMBERS ON GOVERNING BOARD OF ESA NETWORKS, 1977-78

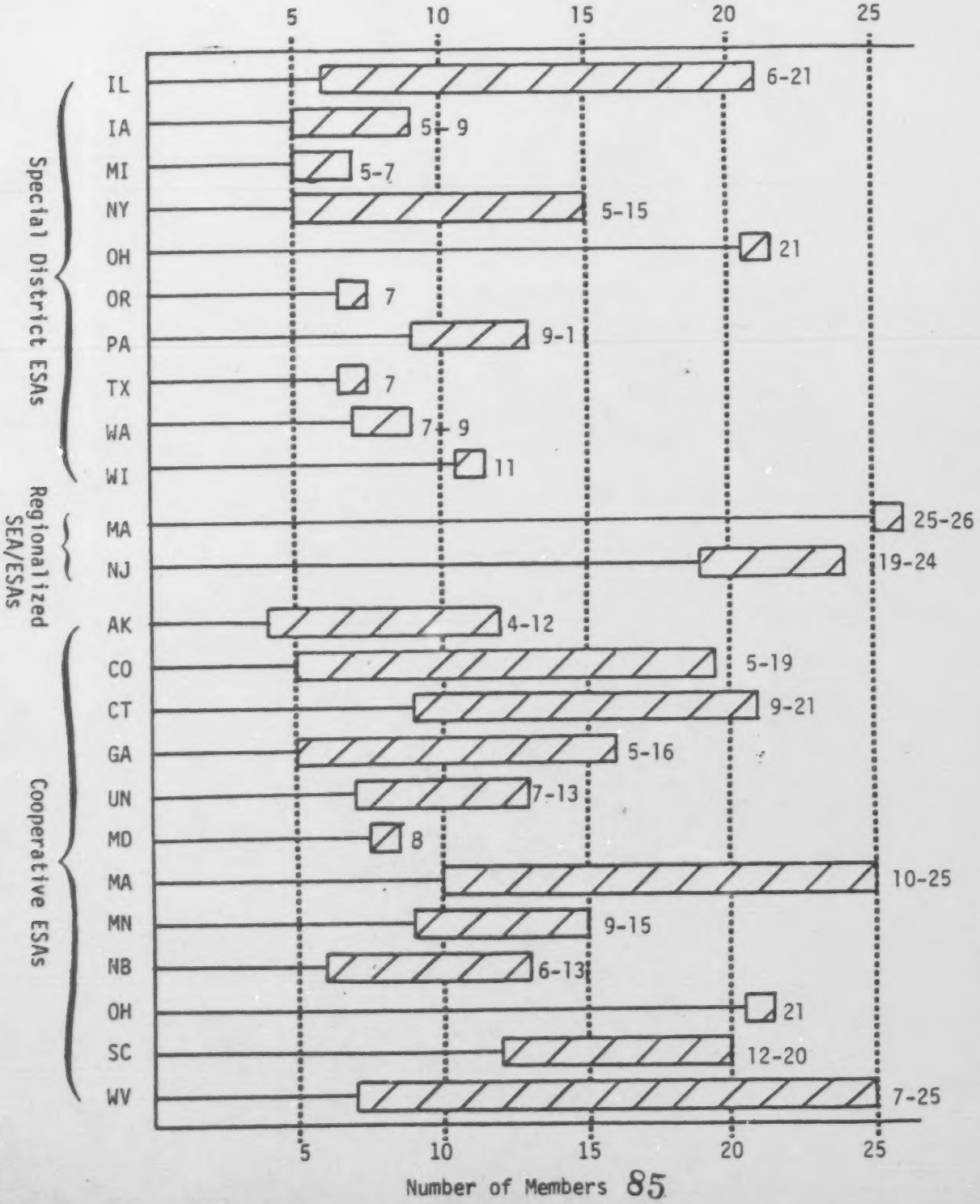


TABLE 10 TERM OF OFFICE OF ESA GOVERNING BOARD MEMBERS

Type of ESA and State	Number of Years of Term						
	1yr	2yr	3yr	4yr	5yr	6yr	Other
TYPE A: SPECIAL DISTRICT ESA							
1. California	-	-	-	X	-	-	-
2. Illinois	-	-	-	X	-	-	-
3. Iowa	-	-	X	-	-	-	-
4. Michigan	-	-	-	-	-	X	-
5. New York	-	-	-	-	X	-	-
6. Ohio (COE)	-	-	-	X	-	-	-
7. Oregon	-	-	-	X	-	-	-
8. Pennsylvania	-	-	X	-	-	-	-
9. Texas	-	-	X	-	-	-	-
10. Washington	-	-	-	X	-	-	-
11. Wisconsin	X	-	-	-	-	-	-
Total	1	-	3	5	1	1	-
TYPE B: REGIONALIZED SEA/ESA							
1. Massachusetts (REC)	-	-	X	-	-	-	-
2. New Jersey (EIC)	-	-	X	-	-	-	-
3. New Jersey (CSS)	-	-	-	-	-	-	-
4. Ohio (SERRC)	X	-	-	-	-	-	-
5. Ohio (FSAC)	-	-	-	-	-	-	-
6. North Carolina	-	-	-	-	-	-	-
7. Oklahoma	-	-	-	-	-	-	-
Total	1	-	2	-	-	-	-
TYPE C: COOPERATIVE ESA							
1. Alaska	X	-	-	-	-	-	-
2. Colorado	-	-	-	-	-	-	X
3. Connecticut	-	-	-	-	-	-	X
4. Georgia	X	-	-	-	-	-	-
5. Indiana	-	X	-	-	-	-	-
6. Maryland	-	-	-	-	-	-	X
7. Massachusetts (EC)	-	-	-	-	-	-	X
8. Minnesota	-	-	X	-	-	-	-
9. Nebraska	-	-	-	X	-	-	-
10. Ohio (RESA)	-	X	-	-	-	-	-
11. Rhode Island	-	-	-	-	-	-	-
12. South Carolina	-	-	-	-	-	-	X
13. West Virginia	-	X[2/]	-	-	-	-	-
Total	2	3	1	1	-	-	6
Total All ESAs	4	3	6	6	1	1	6

TABLE 11 PRIOR EXPERIENCE OF MEMBERS OF ESA GOVERNING BOARDS, AND SELECTED DEMOGRAPHIC CHARACTERISTICS OF MEMBERS, 1977-78

	SPECIAL DISTRICT ESAs	REGIONALIZED SEA/ESAs	COOPERATIVE ESAs	TOTAL ALL ESAs
Number of ESAs in State	368	37	96	501
Number of ESAs Participating in study	208	36	70	314
Number of ESAs Responding	195	7	70	272
Number of Members Included	1598	161	795	2554
PRIOR EXPERIENCE				
None	192	12	79	283
LEA Board	1183	49	506	1738
Other ESA Board	175	23	136	335
Other Education Agency	219	34	197	449
Citizen's Advisory Group	485	44	179	709
ESTIMATED AGE				
Less than 25	5	13		18
25-34	68	17	54	139
35-44	428	62	256	746
45-54	694	60	390	1144
55 or more	464	10	110	584
SEX				
Male	1326	109	693	2128
Female	275	53	113	441
ESTIMATED ETHNICITY				
Spanish Surname	9	5	8	22
Blacks	19	6	14	39
Native American	36		17	53
Asian American	3			3
Caucasian	1522	132	758	2412

TABLE 12

NATURE OF AUTHORITY OF GOVERNING BOARDS OF THREE ESA SPECIAL DISTRICT NETWORKS OVER OPERATIONS OF CONSTITUENT PUBLIC LEAs

Special District ESA Network	Nature of Authority Over Constituent Public LEAs Operations T = total authority to approve S = selected authority to approve							
	Programs	Budget	Building Plans	Reorganization Plans	Interagency Agreements	Transportation Program	School Lunch Program	Certified Staff
California		T		S				S
Iowa			S	T	T			S
Ohio	T	T	T	T	T	T	T	T

CHAPTER FOUR

SELECTED CHARACTERISTICS OF THE CHIEF EXECUTIVE OFFICERS OF EDUCATION SERVICE AGENCIES

I. INTRODUCTION

This chapter covers both administrative and personal background information about the chief executive officers of the 31 ESA networks included in the descriptive study. It presents data on:

1. The legal basis and duties of the position of executive officers;
2. The authority, if any, of an ESA executive officer over the operations of constituent public local districts;
3. The method of selecting executive officers, experience required and the appointment period;
4. The certification and tenure practices for the executive officer;
5. The salary and fringe benefits of the position of executive officer;
6. Evaluation of the executive officer; and
7. Selected characteristics of officers in 1977-78.

II. LEGAL BASIS FOR THE POSITION AND PRESCRIBED DUTIES

The position of ESA executive officer for special districts is included in enabling legislation for all states except California, where the position is a constitutional officer. (See Table 13) The executive officer is an agent of the SEA in California, Iowa, New York, Ohio and Oregon. State project coordinators reported the major duties as:

Iowa	"Cooperate with LEA...Assist in improvement of program...Plan for needs of areas."
Michigan	"Implement educational policies of state and intermediate boards."
New York	"Oversee dependent districts...Represent Commissioner as requested...Administer BOCES operations."
Pennsylvania	"Administer an intermediate unit program... Appoint staff with board approval...Prepare the budget...Direct expenditures...Appoint an Advisory Council...Provide reports to SEA...Perform other duties as defined by board."

Wisconsin	"Agency administrator shall be responsible for coordinating the services, securing the participation of individual school districts, county boards and other cooperative educational service agencies and implementing the policies of the board of control."

Legislation in 3 states requires other ESA staff positions. In Illinois, there must be an assistant regional superintendent to serve as truant officer. Iowa requires 3 other staff members--a director of special education, a director of media and a director of educational services. Pennsylvania stipulates an assistant executive director.

Enabling legislation establishes the position of ESA executive officer for the New Jersey EIC, New Jersey CSS and Ohio FSAC regionalized networks. It is part of SEA regulations in North Carolina and Oklahoma, and it is included in both legislation and SEA regulations in Massachusetts. The position was established voluntarily by the ESA governing board for the Ohio network. Some duties of the executive officer are prescribed in legislations for the New Jersey CSS network, and some duties appear in SEA regulations for the New Jersey EIC and North Carolina networks. The executive officer is an agent of the SEA in 5 of the regionalized networks. The state project coordinators reported that the executive officer is not an agent of the SEA in the New Jersey EIC and Ohio networks.

The major duties of the executive officers in the regionalized ESAs are:

New Jersey (CSS)	"Visit and examine from time to time all the schools and exercise general supervision over them. Keep informed of total operations of schools. Advise and counsel boards of education. Review reports... Serve as the representatives of the commissioner on all educational matters in the county."
New Jersey (EIC)	"Executive management and conduct of center. Administering all programs of center."
North Carolina	"Central SDPI representative for region; supervise regional staff. Coordinate staff development for administration. Coordinate superintendent's Council meetings. Member of SDPI executive staff. Liaison with education for LEAs. Interpret state policies to LEAs. Represent LEAs to state."
Oklahoma	"General administrative director."

Two states reported additional ESA staff positions required in legislation. These were New Jersey CSS--school program coordinators

and chil. study supervisor (for the handicapped); and Ohio--coordinator of school transportation.

Six of the cooperative ESAs, according to state project coordinators, have the executive officer position established in enabling legislation. These are Alaska, Connecticut, Georgia, Indiana, Massachusetts and Nebraska. In 2 states, West Virginia and Ohio, the position is established in enabling legislation, in conjunction with joint action of LEA boards, the state Appalachia Plan and the ARC code. In Colorado, Maryland and Minnesota, the position was established by joint action of LEA boards, and in Rhode Island it was established by state board regulation. Some duties are prescribed--by legislation in Georgia and South Carolina and by SEA regulations in Ohio. The ESA executive is an agent of the state for the Ohio network.

The major duties of the executive officer, as reported, are:

Georgia	"Administrative and professional head...Fiscal agent of board."
Indiana	"Determined by ESC governing boards."
Ohio	"Oversee RESA organization...Make organization self-sustaining...Serve educational needs... Contracts with private business."
West Virginia	"Administration of agency."

Massachusetts is the only state that reported legislation requiring another staff position. It calls for a treasurer.

III. AUTHORITY OF EXECUTIVE OFFICERS OVER CONSTITUENT PUBLIC LEAs

The extent of authority of the ESA executive officers over LEAs varies, from none to total approval of LEA programs and budgets. (See Table 14) The descriptive study sought data on the nature of the authority, and the basis for it.

For special districts, state project coordinators in California, Illinois, New York, Ohio and Pennsylvania reported that ESA executive officers have authority over constituent LEAs. The authority comes from both legislation and SEA regulations in California, Illinois and New York; SEA regulation is the source in the other 2 states. The executive officers in Illinois reportedly have total approval authority over LEA programs, budget, building plans, reorganization plans, interagency agreements, transportation programs, school lunch programs and certified staff, and those in Pennsylvania have selected authority over LEA special education budgets.

According to state project coordinators, regionalized ESA executive officers do not have authority over constituent LEAs except in Massachusetts and Ohio. Authority comes from legislation and SEA regulations for the Massachusetts network, where the executive officers have selected authority over LEA programs, building plans, reorganization plans,

interagency agreements, transportation programs, school lunch programs, certified staff, program audits and fiscal audits. legislation, SEA regulations and regulations of another state agency provide the authority given Ohio executive officers. They have selected authority over LEA programs, budget, building plans, interagency agreements, transportation programs, and school lunch programs.

None of the executive officers of the cooperative ESAs were reported to have legal authority over constituent LEAs.

IV. SELECTION PRACTICES, EXPERIENCE REQUIREMENTS, AND APPOINTMENT PERIOD

There are more instances of election of ESA executive officers in the special district systems than in the other 2 types. (See Table 15) State project coordinators reported that officers are elected in Illinois and in all but 5 of the 58 California ESAs. All other special district officers in the study are appointed. Voters in ESA regions do the electing in California and Illinois. ESA governing boards appoint the officer in the other 5 California networks, Michigan, Ohio, Oregon and Washington. The governing boards participate in the appointment process with LEA administrators in Iowa, with both LEA administrators and the SEA in New York, and with LEA executive officers in Texas. Approval or concurrence by another agency is required in New York and Texas, and New York also must have SEA approval.

All executive officers for regionalized systems are appointed, according to the state project coordinators. The governing board appoints the officer in New Jersey EICs. In Massachusetts, the state board appoints the officer in conjunction with the SEA, and appointment is by the SEA for the Ohio, North Carolina and Oklahoma networks. The appointments need further approval in 4 networks. Massachusetts must have gubernatorial approval (through the Secretary of Administration and Finance); the New Jersey EIC officers need state board approval; the New Jersey CSS officers need the chief state school officer's approval; and the fiscal agents of "lead" LEAs must approve the Ohio SERCC officers.

In the cooperative networks, all executive officers are appointed. Governing boards do the appointing in all other states, except Alaska and Georgia, where LEA governing boards participate; and in Rhode Island where SEA, LEA executive officers and LEA governing boards are involved. Only Rhode Island requires approval of the appointment, which must come from the SEA.

Almost all of the ESAs set out requirements that include teaching experience for the position of executive officers.

In the 4 states with special district networks responding to this question, all executive officers responding to the survey reported that their employment is based on a contract. There was no consistent length of the initial contract period, although 3 years was the most frequently reported period. In Iowa and Texas, an initial 1 year contract period was mentioned frequently, while Pennsylvania reported a 4 year initial contract most frequently.

Of the 4 regionalized networks that answered this question, employment of the executive officers was based neither on a contract nor an

ESA board resolution. The exception was the New Jersey EIC network, where employment was evenly divided between the 2 options. Most of the EIC officers initial contract is for 1 year.

Most of the responding cooperative ESA executive officers reported that employment is based on a contract and that the length of the initial contract is 1 year.

V. CERTIFICATION AND TENURE PRACTICES

Certification requirements for ESA executive officers range from none to ones that are more stringent than for LEA executive officers. In the special districts, project coordinators reported no requirements for officers in California and Texas. General administrator certification is required in Iowa, Ohio, Pennsylvania and Wisconsin. General administration and teacher certification are required in Illinois and Michigan, which also mandates a masters degree. Teacher certification is required in Washington, and a superintendent's certification is required in New York and Oregon. Michigan's requirements were reported to be more stringent than those for LEA executive officer certification, while Pennsylvania's are less stringent. Texas has no certification requirements for ESA executive officers, but does require them for LEA executive officers.

There are no certification requirements for executive officers for the Massachusetts and North Carolina regionalized networks. General administrator certification is required for both New Jersey networks and in Ohio. Special education and administration certification is required for the Ohio SERRC system. Teaching certification is required in Oklahoma.

Eight of the cooperative networks have no certification requirements for ESA executive officers. These are Alaska, Colorado, Connecticut, Maryland, Massachusetts, Minnesota, South Carolina and West Virginia. General administrator certification is required in Georgia, Ohio and Nebraska, which also requires a standard administration and supervisory certificate. Rhode Island requires a secondary school principal certificate. Project coordinators in Georgia, Ohio (RESA) and Rhode Island reported that ESA executive officer certification requirements are the same as for LEA executive officers. The Nebraska requirements are more stringent and the Colorado requirements less so.

The executive officer is not a tenured position in 9 states with special districts, according to the state project coordinators. In Washington, it is a tenured position but has no probationary period. Iowa officers are tenured and have a 1 year probationary period.

There are no tenured requirements for ESA executive officers of the regionalized or cooperative ESAs that were studied.

VI. SALARY AND FRINGE BENEFIT PRACTICES

The salary range and fringe benefits for executive officers of special district ESAs are higher than for the other 2 types of ESAs in

this study. In Illinois, Iowa, Ohio, Washington and Wisconsin, the salaries were in the $25,000 to $35,000 bracket in 1977-1980. (See Table 16) Oregon generally has lower salaries, while Michigan, New York, Pennsylvania and Texas report higher salaries frequently. More than 1/3 of those responding received salaries of at least $35,000. Fringe benefits of less than 12 per cent of the base salary were reported by most of the Illinois, Texas and Washington respondents and by many Iowa, Michigan and Ohio respondents. Most of the Oregon, Pennsylvania and Wisconsin respondents had fringe benefits in the 13 to 24 per cent of base salary range. New York respondents reported fringe benefits of 25 per cent or more of the base salary.

For the regionalized networks, Oklahoma executive officers reported the lowest salaries--less than $20,000. Massachusetts salaries ranged between $20,000 and $30,000; North Carolina, between $25,000 and $35,000; and New Jersey, between $30,000 and $40,000. Oklahoma fringe benefits were reported to be 6 per cent or less of the base salary. Massachusetts fringe benefits were in the 13-18 per cent range, and most New Jersey benefits were in the 19-24 per cent range.

Salaries for most responding ESA executive officers of cooperative networks are in the $20,000 to $30,000 range. Salaries of less than $20,000 were reported in Nebraska and in Ohio. Fringe benefits of 12 per cent or less of the base salary were reported by a majority of respondents from Colorado, Georgia, Massachusetts, Minnesota, Nebraska and West Virginia. Only Alaska and Colorado respondents reported higher benefits--in the 19-24 per cent range.

Salaries are determined in a number of ways for the executive officers of the special district ESAs. In Illinois, salaries are determined by the SEA. For most New York ESAs, salaries are determined jointly by the ESA board and the SEA. The ESA board sets salaries for most Iowa networks and virtually all of the officers in Ohio, Oregon, Pennsylvania, Texas, Washington and Wisconsin. The ESA provides 100 per cent of the executive officers' salaries in those responding from Iowa, Oregon and Michigan, and most of those in Wisconsin. The SEA provides 100 per cent of the officers' salaries in the remaining Wisconsin ESAs and in those who responded from Illinois. Both the ESA and the SEA fund most salaries in New York ESAs.

ESA executive officer salaries are fully funded by the SEA for the Massachusetts, North Carolina and Oklahoma regionalized networks, and jointly funded by the SEA and ESA in the New Jersey EICs. The SEA determines the salary for almost all ESAs of the 4 networks which responded on this question.

Most of the executive officers' salaries in the cooperative networks come from the ESAs themselves. They fund all of the salaries in those responding from Connecticut, Ohio, and South Carolina, and all of the salaries in some of the Alaska, Colorado, Georgia, Indiana, Massachusetts, Minnesota, Nebraska and West Virginia ESAs. The SEA fully funds 1 Minnesota salary, and LEAs fully fund 1 salary in Massachusetts. Joint SEA, ESA, and LEA funding of salaries was reported in a few Colorado, Georgia and West Virginia networks. The Maryland

salaries are jointly funded by the ESA and the Appalachian Regional Commission. The salaries are determined by the ESA governing boards for almost all those responding, except for Georgia, where salaries are determined jointly by the ESA governing board and the SEA.

VII. EVALUATION PRACTICES

A majority of the special district ESAs require evaluations of the executive officers in Iowa, New York, Ohio, Washington, and Wisconsin. About half of the responding ESAs in Michigan, Oregon and Texas require them. Relatively few of those responding in Illinois and Pennsylvania require evaluations. For those requiring them, the evaluations are almost always voluntary and completed annually. ESA governing board members are the most frequently reported participants in the evaluation process. Some New York officers reported SEA involvement.

Virtually all regionalized network officers who responded reported formal evaluation requirements, almost always conducted by SEA personnel (their participation is required rather than voluntary).

More than half of the responding cooperative executive officers in Alaska and Colorado reported formal evaluation requirements, and half of those in Indiana, Minnesota, Ohio and South Carolina did so. ESA board members are the most frequent participants, except in Colorado where the evaluation is broad-based.

VIII. SELECTED CHARACTERISTICS OF CURRENT EXECUTIVE OFFICERS

In the special district networks, all responding ESA executive officers are male (with the exception of several cases in Michigan, Ohio and Pennsylvania), and virtually all reported themselves as Caucasian. (See Figure 10).

However, a substantial portion of the ESA executive officers in the 4 responding regionalized networks are female, although the majority are male. The majority reported themselves as Caucasian.

With the exception of 1 female officer in Georgia, all responding cooperative officers are male. All reported themselves as Caucasian.

Virtually all responding special district officers reported they had previous experience with an LEA, and almost all have had both teaching and administrative experience. (See Table 17) Twenty per cent reported experience with another public agency. SEA experience is rare, except for a few New York, Pennsylvania and Texas officers. Also infrequent is nonpublic agency or nonpublic school teaching experience. Half of the respondents reported previous ESA experience; it was more likely that the experience came from the same ESA than another one.

In the regionalized networks, virtually all of the officers reported previous LEA experience. SEA experience was reported by most Massachusetts officers, by some Oklahoma, and 1 each in New Jersey and North Carolina.

Most responding cooperative officers reported previous LEA experience, primarily both teaching and administrative. A nonpublic background was rare. One-fourth of the respondents reported experience in another agency.

In the special district networks, 10 per cent of the officers are in their first year of employment, and nearly as many have been in the position more than 12 years. Most officers have served in the same position between 2 and 8 years. One-fourth of those in Michigan, New York and Ohio and half of those in Texas and Wisconsin have served more than 8 years.

Few of the officers of regionalized networks in the 4 that responded have served more than 8 years. One-third of the officers in Massachusetts, North Carolina and Oklahoma were in their first year.

More than half of the officers of cooperative networks who responded had been in office from 2 to 8 years. There were twice as many in their first year as those with more than 8 years in the position.

IX. SUMMARY OF MAJOR FINDINGS

Source of authority for position:

1. For a majority (20) of the networks, enabling legislation that created the service agencies was the source of authoritization for the position of executive officer. Ten of these were in special district networks. SEA regulation was cited nearly as frequently as enabling legislation for the regionalized networks, and voluntary action of ESA boards was cited nearly as frequently as enabling legislation in the cooperative networks.

2. ESA executive officers are designated as agents of the state in about 1/2 of the special districts (5 of 11), a majority of the regionalized systems and only 1 (Ohio RESA) of the cooperative networks.

Authority over public school districts:

3. ESA executive officers in none of the 13 cooperative networks and in only 2 of the 7 regionalized networks have either selected or total authority over operations of constituent public LEAs. Five of the 11 positions for the special district ESAs have some authority to approve LEA operations, especially in Ohio, where the authority covers all aspects of LEA operations, including budgeting, building and transportation. In 2 special districts, Illinois and Iowa, the officers have selected authority to approve LEA operations in a number of areas, generally limited to building plans, reorganization, transportation and certified staff. In the 2 other special districts, authority is limited to LEA budget matters. In California, the authority over budgets is total; in Pennsylvania, it is selective and limited to special education.

Method of selection and requirements:

4. A substantial majority (28) of the executive officers are

appointed. They are elected in Illinois, and in 53 of the 58 positions in California.

5. Only 5 per cent of the ESAs participating in this study reported no requirements for experience for the position. The special district and regionalized networks reported teaching experience and LEA administrative experience as equally important, while the cooperative networks reported LEA administrative experience more frequently than teaching experience.

6. No certification requirements for the position were reported for 12 networks, including 8 of the 11 responding cooperative networks. The most frequently reported certification requirement was general administrator certification.

7. The position of ESA executive officers was non-tenured in nearly all networks (29 of 31.) The exceptions, Iowa and Washington, were both special district networks.

Salaries and evaluation:

8. The most frequently reported salary range for the executive officers was $25,000 to $29,000. Salaries and fringe benefits for special district officers were substantially higher than for those in regionalized or cooperative networks.

9. Just over half, 58 per cent, of the executive officers reported formal evaluation requirements. Nearly all of the regionalized systems required them.

Sex and ethnicity:

10. Ninety-five per cent of the executive officers were males. Of the 15 female executive officers in the study, 11 were associated with regionalized systems, including 8 in Oklahoma.

11. Ninety-eight per cent of the executive officers were Caucasian. Of the 7 non-Caucasians replying to the survey, 4 were associated with regionalized systems.

Length of time in position:

13. Five to 8 years was the most frequently reported time in the position. Officials of the older special districts, as might be expected, tend to have occupied their position longer than the newer regionalized and cooperative networks. In the special districts, 30 per cent of the executive officers have served longer than 8 years, compared to 3 per cent of the regionalized officers and 11 per cent of the cooperative officers.

TABLE 13

NUMBER OF ESA EXECUTIVE OFFICER POSITIONS HAVING PRESCRIBED DUTIES, NUMBER DESIGNATED AS AGENTS OF SEA, AND NUMBER OF ESA NETWORKS HAVING OTHER STAFF POSITIONS CITED IN LEGISLATION

TYPE of ESA and STATE	Duties Prescribed in Legislation		Duties Prescribed in SEA Regulation		Agent of the SEA		Other Staff Positions Cited in Legislation	
	Yes	No	Yes	No	Yes	No	Yes	No
TYPE A: SPECIAL DISTRICT ESA								
1. California	X	-	X	-	X	-	-	X
2. Illinois	-	-	-	-	-	X	X	-
3. Iowa	X	-	X	-	X	-	X	-
4. Michigan	X	-	-	-	-	X	-	X
5. New York	X	-	-	-	X	-	-	X
6. Ohio (COE)	-	-	-	-	X	-	X	-
7. Oregon	-	-	-	-	X	-	-	X
8. Pennsylvania	X	-	-	-	-	X	X	-
9. Texas	-	-	-	-	-	X	-	X
10. Washington	-	-	-	-	-	X	-	X
11. Wisconsin	X	-	-	-	-	X	-	X
Total	6	-	2	-	5	6	4	7
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	-	-	-	-	X	-	-	X
2. New Jersey (EIC)	X	-	X	-	-	X	-	X
3. New Jersey (CSS)	X	-	-	-	X	-	X	-
4. Ohio (SERRC)	-	-	-	-	-	X	-	-
5. Ohio (FSAC)	-	-	-	-	X	-	X	-
6. North Carolina	X	-	X	-	X	-	-	-
7. Oklahoma	-	-	X	-	X	-	-	-
Total	3	-	3	-	5	2	2	2
TYPE C: COOPERATIVE ESA								
1. Alaska	-	-	-	-	-	X	-	X
2. Colorado	-	-	-	-	-	X	-	-
3. Connecticut	-	X	-	X	-	X	-	X
4. Georgia	-	-	-	-	-	X	-	X
5. Indiana	-	-	-	-	-	X	-	X
6. Maryland	-	-	-	-	-	X	-	X
7. Massachusetts (EC)	-	-	-	-	-	X	X	-
8. Minnesota	-	-	-	-	-	X	-	X
9. Nebraska	-	-	-	-	-	X	-	X
10. Ohio (RESA)	-	-	X[a/]	-	X[a/]	-	-	X[a/]
11. Rhode Island	-	-	-	-	-	-	X	-
12. South Carolina	X	-	-	-	-	-	X	-
13. West Virginia	-	-	-	-	-	-	X	-
Total	2	1	1	1	1	9	4	8
Total All ESAs	11	1	6	1	11	17	10	18

Note(s):

a) State Appalachia Plan, ARC Code

TABLE 14 NUMBER OF EXECUTIVE OFFICERS OF ESA NETWORKS POSSESSING LEGAL AUTHORITY OVER PUBLIC LEAs, SOURCE(s) AND NATURE OF AUTHORITY

	Source(s) of Authority			Nature of Authority: T = total approval S = selected approval								
SPECIAL DISTRICT ESA	Legislation	SEA Regulation	Other State Legislation	Program	Budget	Building Plans	Reorganization Plans	Interagency Agreements	Transportation Program	School Lunch Program	Certified Staff	Other
1. California	X	X	-	-	T	-	-	-	-	-	-	-
2. Illinois	X	X	-	-	-	S	S	S	S	-	S	-
3. New York	X	X	-	-	-	S	S	-	S	-	S	-
4. Ohio (COE)	-	X	-	T	T	T	T	T	T	T	T	-
5. Pennsylvania	-	X	-	-	S[a]	-	-	-	-	-	-	-
REGIONALIZED SEA/ESA												
1. Massachusetts (REC)	-	X	-	X	-	X	X	X	X	T	S	S[b]
2. Ohio	X	X	X	S	S	S	-	S	S	S	-	-

Note(s): (a) Approval of special education budget only.
(b) Program audits, fiscal audits only.

TABLE 15 PROCEDURES USED IN SELECTING ESA EXECUTIVE OFFICERS

TYPE of ESA and STATE	Method of Selection		Participate in Election	Participate in Appointment	Approval or Concurrence Required for Appointment
	Elected	Appointed			
TYPE A: SPECIAL DISTRICT ESA					
1. California	X	Xa/	Voters	ESA boarda/	No
2. Illinois	X		Voters		
3. Iowa		X		ESA board	No
4. Michigan		X		ESA board	No
5. New York		X		SEA&ESA board	Yes
6. Ohio (COE)		X		ESA board	No
7. Oregon		X		ESA board	No
8. Pennsylvania		X		ESA board	No
9. Texas		X		SEA&ESA board	Yes
10. Washington		X		ESA board	No
11. Wisconsin		X		LEA Admin.& ESA board	No
TYPE B: REGIONALIZED SEA/ESA					
1. Massachusetts		X		State board	Yesb/
2. New Jersey (EIC)		X		ESA board	Yesc/
3. New Jersey (CSS)		X		SEA	yesd/
4. Ohio (SERRC)		X		SEA	yese/
5. Ohio (FSAC)		X		SEA	No
6. North Carolina		X		SEA	No
7. Oklahoma		X		SEA	No
TYPE C: COOPERATIVE ESA					
1. Alaska		X		LEA boards	No
2. Colorado		X		ESA board	No
3. Connecticut		X		ESA board	No
4. Georgia		X		LEA board	No
5. Indiana		X		ESA board	No
6. Maryland		X		ESA board	No
7. Massachusetts (EC)		X		ESA board	No
8. Minnesota		X		ESA board	No
9. Nebraska		X		ESA board	No
10. Ohio (RESA)		X		ESA board	No
11. Rhode Island		X		SEA&LEA board	Yes
12. South Carolina		X		ESA board	No
13. West Virginia		X		ESA board	No

Note(s): a/ Only 5 of 58 appointed
b/ Governor, through Secretary of Administration & Finance
c/ State Board of Education
d/ Chief State School Officer
e/ Fiscal Agent (LEA board)

TABLE 16 SALARY RANGE OF ESA EXECUTIVE OFFICERS AND FRINGE BENEFITS RECEIVED AS A PER CENT OF SALARY, 1977-78

Type of ESA and State	Number of ESAs in State	Number Participating in Study	Salary Range						
			19,999 or less	20,000 to 24,999	25,000 to 29,999	30,000 to 34,999	35,000 to 39,999	40,000 to 44,999	45,000 or more
TYPE A: SPECIAL DISTRICT ESA									
1. Illinois	58	21	-	-	14	3	-	-	-
2. Iowa	15	15	-	-	12	2	-	-	-
3. Michigan	58	24	-	1	6	5	6	1	4
4. New York	44	44	1	1	-	1	14	11	14
5. Ohio (COE)	87	21	-	2	14	2	-	2	-
6. Oregon	29	13	2	5	3	2	1	-	-
7. Pennsylvania	29	22	-	-	1	8	6	5	-
8. Texas	20	20	-	-	-	5	-	-	4
9. Washington	9	9	1	-	-	5	3	-	-
10. Wisconsin	19	19	-	-	17	1	-	-	-
Total	368	208	4	10	67	34	36	24	22
TYPE B: REGIONALIZED SEA/ESA									
1. Massachusetts (REC)	6	6	-	3	3	-	-	-	-
2. New Jersey (EIC)	4	4	-	-	-	1	3	-	-
3. North Carolina	7	6	-	-	5	1	-	-	-
4. Oklahoma	20	20	19	-	-	-	-	-	-
Total	37	36	-	3	8	2	3	-	-
TYPE C: COOPERATIVE ESA									
1. Alaska	5	3	-	-	-	1	2	-	-
2. Colorado	17	16	-	8	5	2	-	-	-
3. Connecticut	6	2	-	-	-	1	1	-	-
4. Georgia	16	16	-	8	8	-	-	-	-
5. Indiana	4	4	-	2	2	-	-	-	-
6. Maryland	1	1	-	-	1	-	-	-	-
7. Massachusetts (EC)	5	5	-	-	3	1	1	-	-
8. Minnesota	9	6	-	-	3	3	-	-	-
9. Nebraska	13	5	1	-	4	-	-	-	-
10. Ohio (RESA)	3	2	1	1	-	-	-	-	-
11. South Carolina	3	2	-	-	-	2	-	-	-
12. West Virginia	8	8	-	1	6	1	-	-	-
Total	96	70	2	20	32	11	4	-	-
Total All ESAs	501	314	25	33	107	47	43	24	22

TABLE 16 (continued)

Type of ESA and State	Fringe Benefits as a Per Cent of Salary					
	6 or less	7-12	13-18	19-24	25-30	31 or more
TYPE A: SPECIAL DISTRICT ESA						
1. Illinois	11	3	1	-	-	-
2. Iowa	1	6	7	-	-	-
3. Michigan	3	10	3	2	3	1
4. New York	-	-	-	3	21	20
5. Ohio (COE)	9	2	9	-	-	-
6. Oregon	2	1	4	6	-	-
7. Pennsylvania	3	3	5	7	3	1
8. Texas	5	11	3	-	1	-
9. Washington	4	4	1	-	-	-
10. Wisconsin	-	1	4	12	2	-
Total	38	41	37	30	30	22
TYPE B: REGIONALIZED SEA/ESA						
1. Massachusetts (REC)	2	2	1	-	-	-
2. New Jersey (EIC)	-	-	1	2	1	-
3. North Carolina	-	1	3	2	-	-
4. Oklahoma	17	1	3	2	-	-
Total	19	3	5	4	1	-
TYPE C: COOPERATIVE ESA						
1. Alaska	1	-	1	1	-	-
2. Colorado	5	3	5	2	-	-
3. Connecticut	1	1	-	-	-	-
4. Georgia	2	7	7	-	-	-
5. Indiana	1	-	3	-	-	-
6. Maryland	-	-	1	-	-	-
7. Massachusetts (EC)	-	2	1	-	-	-
8. Minnesota	3	1	2	-	-	-
9. Nebraska	3	1	1	-	-	-
10. Ohio (RESA)	-	1	1	-	1	1
11. South Carolina	-	-	2	-	-	-
12. West Virginia	1	3	4	-	-	-
Total	17	19	28	3	-	-
Total All ESAs	74	63	70	37	31	22

FIGURE 10

ETHNIC BACKGROUND OF ESA EXECUTIVE OFFICERS AND SEX OF ESA EXECUTIVE OFFICERS IN 1977-78, BY TYPE OF ESA NETWORK

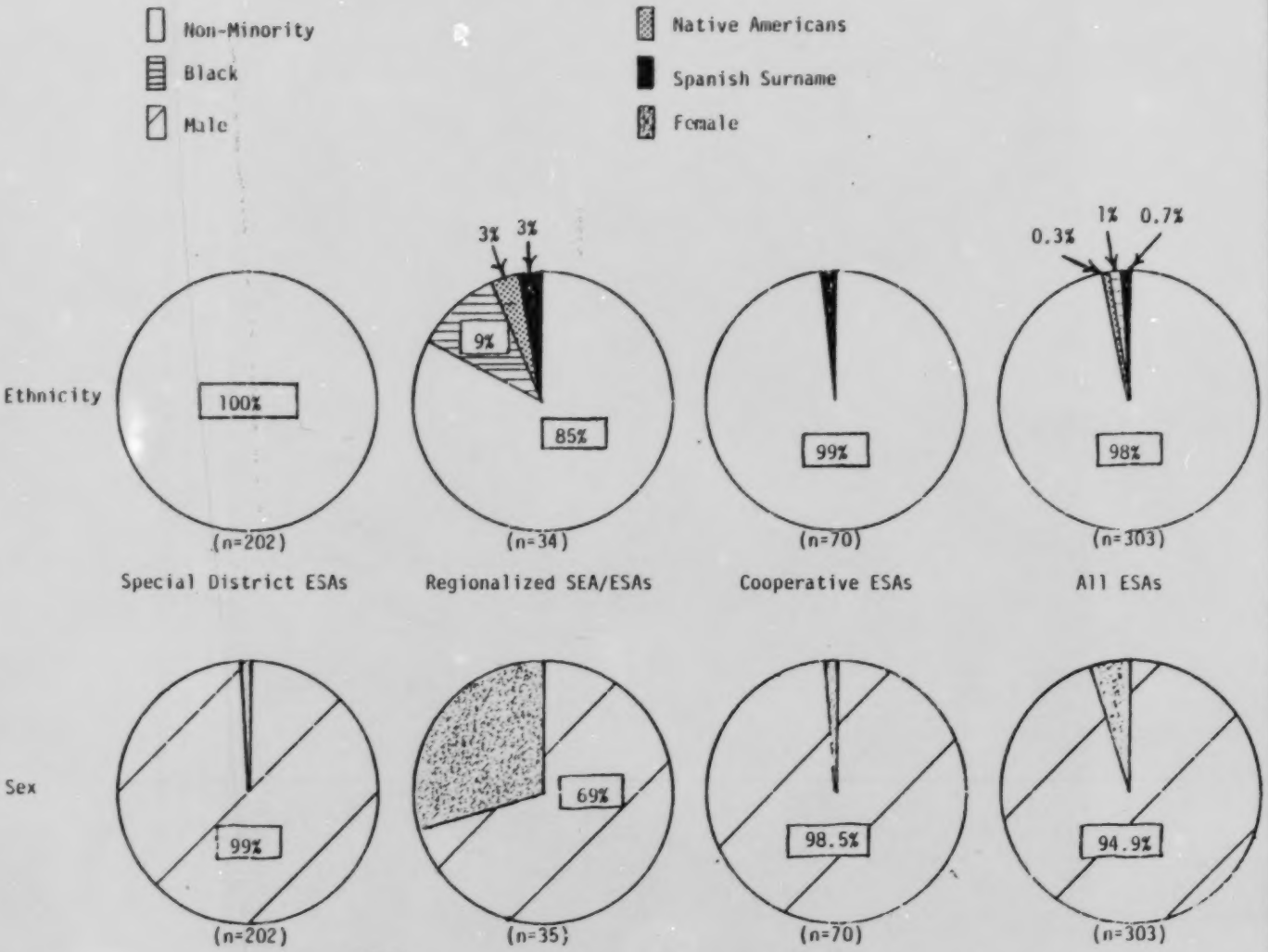


TABLE 17
EXPERIENCE BACKGROUND OF ESA EXECUTIVE OFFICERS, 1977-78

TYPE of ESA and STATE	Number of ESAs in State	Number of ESAs Participating in Study	Public LEA Experience		SEA Experience	ESA Experience		Experience in Other Agency	
			Teaching	Administrative		This Unit	Another Unit	Public	Nonpublic
TYPE A: SPECIAL DISTRICT ESA									
1. Illinois	58	21	17	15	1	8	-	4	1
2. Iowa	15	15	14	14	1	5	5	4	1
3. Michigan	58	24	23	19	-	10	4	4	2
4. New York	44	44	41	40	5	17	9	7	6
5. Ohio (COE)	87	21	20	19	1	9	2	2	-
6. Oregon	29	13	13	12	-	4	2	2	-
7. Pennsylvania	29	22	22	22	4	9	4	3	-
8. Texas	20	20	20	20	3	12	3	5	5
9. Washington	9	9	9	9	-	3	-	-	-
10. Wisconsin	19	19	13	15	-	4	-	3	1
Total	368	208	197	185	15	81	29	34	16
TYPE C: REGIONALIZED SEA/ESA									
1. Massachusetts (REC)	6	6	6	5	4	2	1	4	2
2. New Jersey (EIC)	4	4	1	4	1	2	2	1	-
3. North Carolina	7	6	6	6	1	-	1	-	-
4. Oklahoma	20	20	19	8	4	6	4	4	7
Total	37	36	32	23	10	10	8	9	9
TYPE C: COOPERATIVE ESA									
1. Alaska	3	3	2	2	-	1	-	1	-
2. Colorado	17	16	15	13	3	6	5	4	1
3. Connecticut	6	2	2	1	-	1	-	-	-
4. Georgia	16	16	16	16	4	5	6	3	2
5. Indiana	4	4	4	2	2	3	-	-	1
6. Maryland	1	1	-	-	-	-	-	1	-
7. Massachusetts (EC)	5	5	4	3	1	-	2	2	2
8. Minnesota	9	6	5	5	-	2	3	2	1
9. Nebraska	19	5	4	5	-	1	-	-	-
10. Ohio (RESA)	3	2	2	2	-	1	-	1	-
11. South Carolina	3	2	1	1	1	-	1	1	-
12. West Virginia	9	9	7	9	-	2	2	3	1
Total	96	70	62	58	11	22	19	18	8
Total All ESAs	501	314	291	266	36	113	56	61	33

CHAPTER FIVE

SELECTED ORGANIZATION AND MANAGEMENT CHARACTERISTICS

I. INTRODUCTION

This chapter explores some of the organizational and management practices of the ESAs, including:

1. Selected planning practices;
2. Management information systems used;
3. Written communication practices;
4. Management team practices; and,
5. The use of permanent and ad hoc advisory committees

II. PLANNING PRACTICES OF UNITS

In the special district networks, all Texas officers reported designating 1 or more staff members as planners. Elsewhere, in only Pennsylvania, Washington, New York and Michigan did a majority of the ESAs report a staff planner. Almost all ESAs with staff planners used them to help with local district planning, but in most states their time is focused on ESA operations or on both ESA and LEA functions.

With the exception of North Carolina, the executive officers of the regionalized systems reported designating a staff planner, who usually assists with local district planning and whose time almost always is equally distributed between ESA and LEA functions.

All of the responding officers in 4 cooperative networks (Minnesota, Nebraska, Ohio and South Carolina), reported designating 1 or more staff members as planners. Almost always this staff member assists with local district plans. Time is allocated almost equally between ESA and LEA functions.

As to relationships within the ESA, almost all special district networks with a staff planner reported that the planners work with ESA administrators, program managers and teachers to develop plans within the ESA. Most interaction was with ESA administrators, but in nearly every state at least 1 planner is working full-time with LEAs.

In the 3 regionalized networks reporting the use of staff planners, they usually work with ESA general administrators, program managers and with teachers.

The ccoperative networks used staff planners primarily to work with general administrators, and somewhat less frequently with program managers or with teachers.

III. MANAGEMENT INFORMATION SYSTEMS

Nearly all responding special district ESAs reported management information systems, except Wisconsin and Illinois. None were reported in the former; in the latter, only half of the responding ESAs reported having them. Student enrollment and financial information were the most frequently reported data collected from constituent LEAs, but personnel and instructional information was collected almost as frequently. Enrollment projection figures are kept by about half of the ESAs with student enrollment data systems. Community data systems were reported infrequently. Less than half of the responding ESAs reported collecting data on characteristics of the region, except for public education data.

In the regionalized networks, all Oklahoma officers reported data systems for all categories of characteristics of the individual constituent LEAs. The Oklahoma ESA data systems also collected data on the region -- public education, nonpublic information and regional public health and welfare agencies. Most Massachusetts and New Jersey (EIC) systems maintain data for most categories of individual constituent LEAs, and some categories of regional characteristics.

Student enrollment data was kept by most of the cooperative ESAs reporting from Alaska, Colorado, Connecticut, Georgia, Indiana, Maryland, Minnesota, Nebraska, Ohio, South Carolina and West Virginia. Many ESAs in Georgia, Minnesota, South Carolina, and West Virginia collect other information about LEAs. Except for public education, collection of data about the regions is not extensive. Including some categories are Alaska, Connecticut, Georgia, Nebraska, South Carolina, and West Virginia. The only Maryland unit said its data systems covered all categories.

IV. WRITTEN COMMUNICATION PRACTICES

All of the responding special district ESAs have some form of written communication with public LEAs -- regular monthly, quarterly or annual channels. (see Figure 11). In all states except Ohio and Oregon, most of these ESAs also regularly communicate with nonpublic schools. Also, nearly all ESAs reported regular communication with each other. Frequently reported was regular communication with public post-secondary institutions, but it was infrequent with private post-secondary institutions. About 2/3 of the responding ESAs have regular written communication with local and/or regional government agencies. Virtually all reported regular written communication with the SEA. Communication with other state level agencies or with federal agencies was less extensive, but still reported by 2/3 of the ESAs. Nearly all ESAs reported regular written communication with professional organizations and with public media. About 3/4 reported such communication with advisory groups, parents, students, and business and industry.

Massachusetts reported the most extensive regular written communication among the regionalized networks. All its officers reported such channels with virtually all categories of local and regional agencies or organizations, state-level agencies or organizations and federal agencies, and ESA level agencies, organizations and constituencies. New Jersey's EIC pattern was

nearly as widespread. Oklahoma reported regular communication with many categories, and less extensive written communication practices are used in North Carolina, according to the survey.

All responding cooperative network officers reported regular written communication with public LEAs, and almost all regularly communicate in writing with other ESAs and the SEA. Also frequent was written communication with public post-secondary schools, professional organizations, advisory groups and the public media. Other government agencies, state and federal agencies, parents and students are reached regularly by 3/4 of the responding cooperative networks.

V. MANAGEMENT TEAM PRACTICES

In the special district networks, most executive officers in 7 states reported an ESA management team or executive cabinet (Iowa, Michigan, New York, Pennsylvania, Texas, Washington, and Wisconsin.) About 2/3 of the Oregon ESAs reported having them, half of the Ohio ESAs, and 1/4 of the Illinois ESAs. The team includes the deputy executive officer in almost all ESAs which reported this position, except Iowa. Associate and/or assistant executive officers are members in about half the ESAs which reported this position on the staff. Program directors are on about 20 per cent of the management teams where ESAs have this position.

All Massachusetts and New Jersey networks reported management teams or executive cabinets, in the regionalized category. All of the reported deputy executive officers, 2/3 of the reported associate or assistant executive officers and about 1/4 of the program directors serve on the teams or cabinets.

In the cooperative networks, management teams or executive cabinets were reported by the Maryland ESA, all those responding in Connecticut, Nebraska, and South Carolina and 2/3 of the Colorado and Georgia ESAs. Half or less of the responding units in Alaska, Indiana, Massachusetts and Minnesota had teams or cabinets. Cooperative networks reported considerably fewer staff positions for deputies or associate or assistant executive officers. Where these existed, about half were on the team or cabinet. Program directors were not often members.

VI. NUMBERS, TYPE, SIZE, LEGAL BASIS AND COMPOSITION OF ADVISORY COMMITTEES

Nearly all of the responding special district executive officers in 4 states have a general ESA advisory committee (Pennsylvania, Texas, Washington and Wisconsin.) (See Figure 12.) More than 1/2 the officers in Iowa and Oregon reported them, but they are present in less than 1/3 of the units in Illinois, Michigan, New York, and Ohio.

Two-thirds of the Oregon and Pennsylvania ESAs, and 1/2 of the Michigan and Washington units reported budget committees.

The 2 states with the largest number of committee members are Texas and Washington (the Texas committees averaged 46 members.) Pennsylvania, Washington and Wisconsin advisory committees each have about 25 members. In Iowa, Michigan and New York, the committees average about a dozen members, while those in Illinois, Ohio and Oregon average about 6. Only 5 special district officers reported ad hoc committees -- in all others, they are permanent, and in most states, the committees are mandated by SEA regulations. Composition of the advisory committees is largely drawn from public LEAs, mostly the LEA executive officers and LEA staff. Occasionally, LEA board members are included, especially in Wisconsin where committees tend to have more representation from parent and other citizen groups than in other states.

Almost every state reported that ESAs and LEAs participated in the selection process -- with similar frequency. Both governing boards and the executive officers were included as participants in selecting the committee members.

Every special district state reported ESA budget advisory committees, except Wisconsin. Only 1/2 reported such committees in Iowa, Michigan, and Pennsylvania. Large budget advisory committees were reported in Texas and Washington (25 or more members), while Iowa, Ohio and Oregon reported 8 or less members. The budget advisory committees were mostly permanent. Although ad hoc ESA budget advisory committees were reported in Iowa, Michigan, New York, and Pennsylvania, permanent committees predominate in those states. New York's committees are established by local decisions; most others have their legal basis in statutes or SEA regulations. The committees were mostly composed of public LEA executive officers, except in Michigan and Oregon, where public LEA board members predominated. Other catagories of public or nonpublic representatives were seldom reported. Participation in the selection process is evenly distributed among ESA governing board members, ESA executive officers, LEA governing board members and LEA executive officers.

Few special district officers reported advisory committees for general ESA services. Most committees of this type average 15-25 members, and almost all are permanent. They usually result from local decisions and are composed largely of public LEA executive officers. Selection of members follows the pattern for other committees.

Several of the special district networks reported advisory committees for education of the handicapped -- a majority of respondents in Iowa, Michigan, New York, Oregon, Pennsylvania and Texas. They were reported in less than half the ESAs in other states. Most of them are permanent, and except for New York and Texas, they are mandated by statutes or SEA regulation. LEA staff are more frequent members than LEA executive officers. More than half report parents or other citizen membership, except in Texas. Participation in selection of members reflects the make-up of the committees -- with ESA staff, LEA staff and parents predominating.

Michigan and New York officers reported the existence of vocational advisory committees, but they are infrequent elsewhere. Committees in these 2 states are large, averaging 30 or more. The few committees in other states are small, averaging 7 or fewer in 4 states, and a dozen or less

in 3 states. LEA staff, students, parents, business, labor and other groups were represented in the Michigan, New York, and Pennsylvania vocational advisory committees.

Officers of regionalized networks in Massachusetts and North Carolina report ESA advisory committees. In the latter, they are composed entirely of LEA executive officers. Those in Massachusetts are broad-based.

Only North Carolina reported an ESA budget advisory committee. Massachusetts reported 4 large ESA education for the handicapped advisory committees. These are permanent, established by statute and have broad membership. Smaller committees were reported in North Carolina. Both states have ESA vocational advisory committees.

Most responding officers of cooperative networks in 9 states reported having general advisory committees (Alaska, Colorado, Connecticut, Maryland, Massachusetts, Minnesota, Nebraska, Ohio and South Carolina.) Half of the ESAs in Georgia and Indiana reported general advisory committees. The committees averaged 20 or more members in Maryland, Minnesota and Nebraska; committees averaged 10 or less in Alaska, Colorado, Connecticut, Georgia, Indiana and Massachusetts.

Almost all of the committees in these cooperative units are permanent. In Georgia and Minnesota, they are usually legally based in the statutes or SEA regulations; in Colorado, Massachusetts, Nebraska, and Ohio, they tend to originate through local decisions or ESA by-laws. The ESA general advisory committees are usually composed of LEA executive officers and/or staff (Minnesota's are broadly based.) ESA personnel mostly choose the members, although LEA personnel are represented equally in the selections in Colorado, Georgia, Minnesota and Ohio.

Officers in 5 states reported budget advisory committees (Colorado, Georgia, Maryland, Nebraska and South Carolina.) These committees usually are permanent and small. Their legal basis is divided between local decision and statute, and they usually are composed of LEA executive officers, most often selected by ESA governing boards.

Cooperative ESA advisory committees for the education of the handicapped were reported for half or more of the responding units in Colorado, Connecticut, Massachusetts, Minnesota and Nebraska. Connecticut and Nebraska committees average more than 20 members each; most others have between 10 and 20 members. Most committees are permanent and based on local decisions (except in Colorado.) LEA staff, executive officers and parents are represented on most committees. Few cooperatives have vocational advisory committees. Where they exist, they usually are permanent and based on local decisions. The primary addition to these committees is representation from business and industry. Selection is most frequent at the LEA level.

VII. SUMMARY OF MAJOR FINDINGS

Staff Planners:

1. The regionalized networks were more likely to have a staff person designated as a staff planner (81per cent.) Overall, the percentage was 59 per cent for all 3 types.

Management information systems:

2. A management information system was reported in 81 per cent of the ESAs. At least 3/4 of them included student enrollment data on local districts, financial data, personnel data, instructional program data and public education characteristics of the region served.

Communication practices:

3. Extensive written communication practices were used by almost all ESAs. All reported such communication with public LEAs, 96 per cent with SEAs, 92 per cent with other ESAs, 86 per cent with the public media, to advisory groups and to professional organizations; 80 per cent with non-public schools and public post-secondary institutions, and 73 per cent with other local governments.

Management teams:

4. Management teams or executive cabinets were reported by 67 per cent of the ESAs. For the most part, they included a full range of ESA management personnel.

Advisory Committee:

5. More than half (58 per cent) of the ESAs reported the use of permanent advisory committees for general ESA operations. This was more frequent among cooperative ESAs (66 per cent,) and least frequent in the regionalized networks (31 per cent.)

6. Just under half (47 per cent) of all ESAs reported advisory committees for education of the handicapped. This committee was more prevalent in special district ESAs (53 per cent) than in the cooperative units (39 per cent) or regionalized units (18 per cent.)

7. Less prevalent were advisory committees for vocational and occupational education, ESA budget operations or ESA general services.

8. Most ESA advisory committees were permanent.

9. Advisory committees were most frequently established by enabling legislation, but local decision-making was almost as common. SEA regulation was cited most often in the establishment of vocational advisory committees.

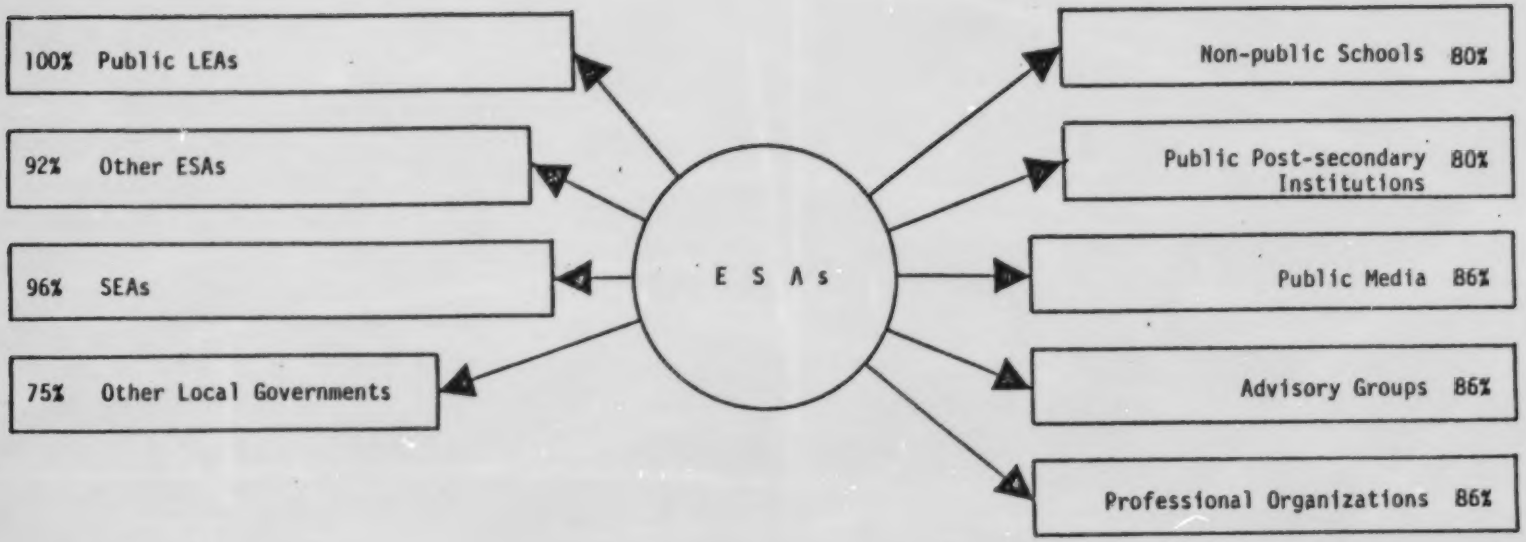
10. Vocational and occupational education advisory committees were the largest, averaging 24 members. General ESA committees averaged 19 members; the remaining types of committees averaged 14 members.

11. LEA administrators were the largest category of members on advisory committees for general ESA operations, ESA budgets, and general ESA services. LEA staff members were the largest category on committees for education of the handicapped and vocational education.

12. LEA board members served on ESA budget advisory committees slightly more often than on other committees. Parents were more often on committees for education of the handicapped, and students and business-labor representatives were more often on vocational education committees.

FIGURE 11

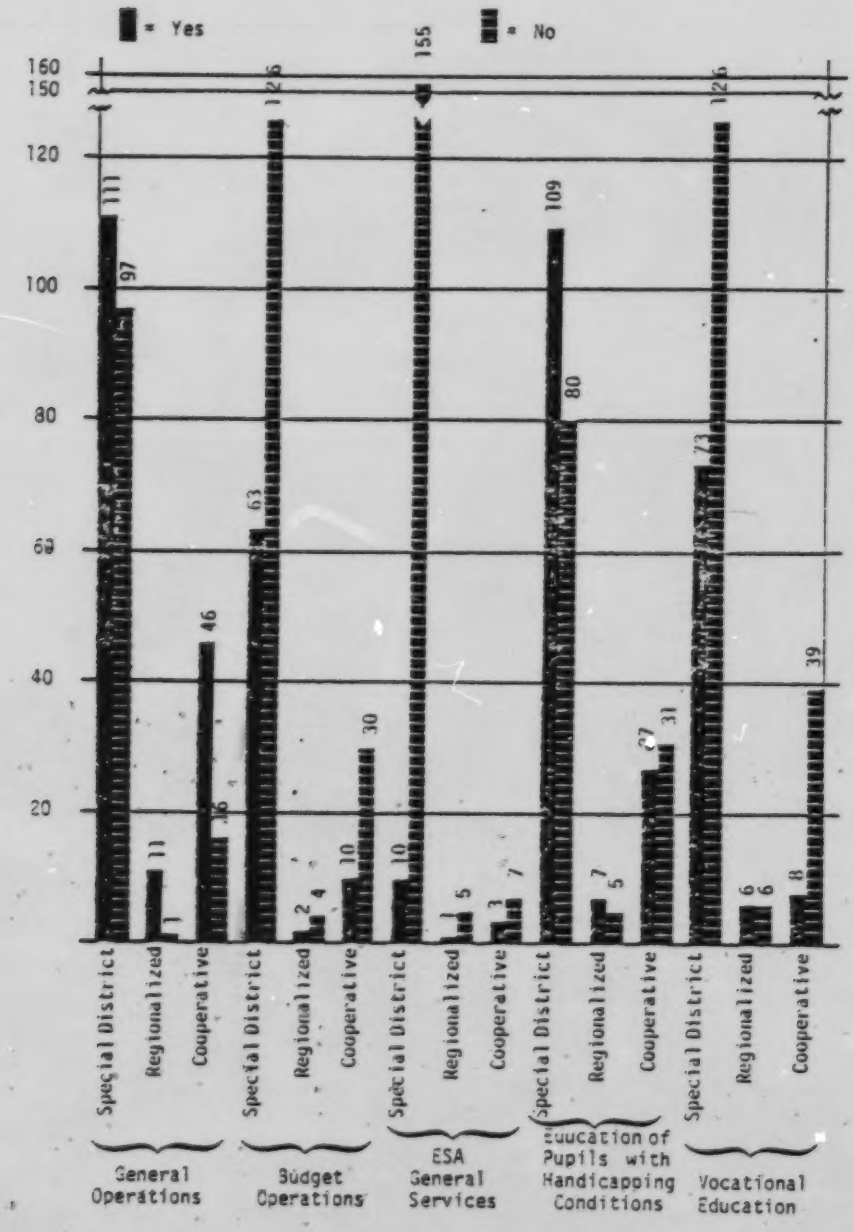
PERCENT OF ESAs ENGAGED IN REGULAR WRITTEN COMMUNICATION WITH OTHER AGENCIES



N=314 ESA Units of All Types

FIGURE 12

NUMBER OF ESAs MAINTAINING ADVISORY COMMITTEES



CHAPTER SIX

SELECTED FINANCIAL CHARACTERISTICS

I. INTRODUCTION

Both state project coordinators and ESA executive officers contributed information on selected aspects of the financing of the ESA units. This chapter will cover:

1. The taxing authority of the ESAs;
2. A comparison of state funding of the networks in 1974-75 and 1977-78, and 7 selected interests involving state aid;
3. Federal funding of the networks in the same years, and the categories of federal aid;
4. Revenue sources of ESA units for the same years;
5. Total statewide ESA revenue in the same years and revenue from non-federal sources;
6. Budget expenditures of ESA units in 26 specific program areas;
7. Methods of allocating costs for services and payments to ESAs;
8. Borrowing and investment practices;
9. ESA annual budget planning and approval procedures; and,
10. ESA accounting/auditing procedures.

II. TAXING AUTHORITY OF UNITS

Special district ESAs have taxing authority with limitations in California, Iowa, Michigan and Oregon, according to the state project coordinators. (See Table 18.) In California, the tax rate or dollar amount limitations are specified in legislation for types of programs. In Oregon, the tax rate is constitutionally limited to 6 per cent increase in the tax base. In both states, LEAs collect property taxes used by ESAs for administration, facilities and selected services. In Iowa, counties collect property taxes used by ESAs for facilities. None of the 7 regionalized networks were reported to have direct taxing authority.

As to the cooperative networks, the Nebraska project coordinator reported that the ESAs have taxing authority with a 1 mill limit in the tax rate. Counties collect property taxes that can be used for administration, facilities and all services.

III. STATE FUNDING OF NETWORKS IN 1977-78 and 1974-75

Special district ESAs in California, Illinois, Iowa, New York, Ohio, Pennsylvania, Texas and Washington received state monies in 1977-78, according to the state project coordinators. Those with the largest state aid that year, ranked in decreasing order of dollar amount, were Pennsylvania, California and New York. The 3 states with the most state aid in 1974-75, in decreasing order, were the same, but in a different order: New York, Pennsylvania and California. The percentage change in state aid ranged from a decrease of 5 per cent in Illinois to an increase of 80 per cent in Washington. ESAs are designated as sole recipients of state funds or appropriations in Illinois, Iowa, Ohio, Pennsylvania, Texas, Washington and Wisconsin, according to state project coordinators. (See Table 19)

The New Jersey, North Carolina and Oklahoma regionalized networks were reported as receiving state monies in 1977-78 by the state project coordinators. The 2 states reporting the largest state aid dollar amounts in both 1977-78 and 1974-75 were Oklahoma and North Carolina. The New Jersey EICs and Oklahoma networks are designated as sole recipients of state funds or appropriations, according to the state project coordinators.

Alaska, Colorado, Connecticut, Georgia, Indiana, Minnesota and West Virginia cooperative ESAs received state monies in 1977-78, report the state project coordinators. Those receiving the largest amounts were Georgia, West Virginia and Indiana -- the same as in 1974-75. Percentage changes ranged from a decrease of 4 per cent in Georgia to an increase of 107 per cent in West Virginia. ESAs are designated as the sole recipients of state funds or appropriations in Alaska, Colorado, Connecticut, Georgia, Indiana, Minnesota, Rhode Island and West Virginia, according to the state project coordinators. The only program break-down came from Connecticut, where ESAs are the sole recipients of set-aside monies for aphasic children.

An overall look at state funding of the ESA networks shows that almost all ESAs received state funds for general administration, according to the responding state project directors. The total in 1974-75 was about half of the 1977-78 funding level. Legislation was the most frequently cited source of authority for state aid; occasionally, the state constitution or SEA regulations were cited. Funds mostly come from the state general fund for ESA general administration. The majority of all responding project coordinators reported that all ESAs in their states received state funds for facilities. State funding of facilities in 1974-75 was double the amount in 1977-78. Either the state constitution or legislation were reported as the basis of legal authority for this funding.

Also, the majority of project coordinators responding said that all ESAs in their states received state funds for general services, with funding in 1974-75 about 80 per cent of that reported for 1977-78. Legislation was the principal source of legal authority. The majority also reported that all ESAs in their states received state funds for specified services, primarily education of the handicapped. Some received state funds for other instruction media and library services, vocational education and data processing. Authority for such funding was mostly in legislation, and the state general fund was the most frequently cited source of state aid.

Most responding project coordinators reported that all special district ESAs in their states received state funds for ESA general administration, with funding in 1974-75 about half of that in 1977-78. Authority came mostly from legislation. Most also reported that all ESAs in their states received state funds for facilities. Authority came from legislation, and the state general fund or special state appropriations were the sources of aid. The majority likewise reported that all ESAs in their states received state funds for general services, with the level in 1974-75 about 80 per cent of that in 1977-78. Authority and fund sources were the same as for facilities. A majority of the special district ESAs also received funds for pupils that were handicapped, or for specified other services. Some received funds for vocational and occupational education, other instruction, and media and library services. The majority reported that no ESAs received state funds for adult education. Reported funding for all of these specific services in 1974-75 was about 1/3 of the 1977-78 level. Legislation was cited most frequently as the legal basis for funding.

As for the regionalized networks, all responding project coordinators reported that all such ESAs in their states received state funds for general administration. Legal authority was in the state constitution, legislation and SEA regulations -- each one being cited as often as the others. Usually, the state general fund was the source of state aid. The majority reported that ESAs received state funds for facilities, with the state constitution cited more frequently as the legal source. State general fund and special state appropriations were the usual sources of aid. All ESAs also received state funds for general services, according to the coordinators, with state funding in 1974-75 about 1/3 of that in 1977-78. Authority came from legislation and SEA regulation; monies usually came from the state general fund. All of the regionalized networks also received funds for the education of the handicapped, vocational education and other specified services. State funding for all such services in 1974-75 was about 30 per cent of that in 1977-78.

Of the state coordinators that responded, most said all cooperative ESAs in their states received state funds for general administration, for general services and that some received state funds in specific program areas, such as education of the handicapped, vocational education and other instructional services. State funding for such services in 1974-75 was about half of that in 1977-78. Either legislation of LEA aid transfer (with prior approval) was cited as the source of authority.

The cost of ESA operations and amount of the annual state appropriations were cited most frequently by the responding state project coordinators as the primary variable in the state formula for funding ESAs. (See Table 20) Also used were total LEA pupil population and wealth of LEAs. These were used for ESA administration, facilities and general services. For specific programs, the amount of annual state appropriations, pupil participation in programs and effort of LEAs were the most frequently reported variables. They also reported more frequent use of categorical funding, according to ESA services than lump sum funding, where the same sum is paid to all ESAs for all categories of services. The exception was for general ESA administration, where lump sum funding was more frequent. Direct payment to ESAs was more frequent than indirect payment through the LEAs for all categories of service, except vocational education (where indirect payment was more frequent.) There were few limits on state aid reported.

The amount of the annual state appropriations was the primary variable used in the state funding formula for special district ESAs, according to the project coordinators. The exception was for services to handicapped children. Other variables cited included a flat grant for general administration in Illinois, and specific formulas for the networks in Oregon and Pennsylvania.

A formula that determined state aid only for ESAs was reported more frequently for special districts than the use of the same formula as for LEAs. State categorical payments were reported more frequently than state lump sum payments. Few coordinators cited limits of state aid to ESAs. Mentioned more than once were flat grant limitations and salary limitations.

The cost of ESA operations was the primary variable reported for regionalized networks by the state coordinators in the state formula for general administration.

The amount of annual state appropriations was the primary variable used in funding formulas for cooperative networks, according to the coordinators. No other variable was cited more than once. There were no reports of conditions or limitations to state aid as listed in the survey. Others mentioned included a legislated limit on funding ESA general administration and LEA determination of limits for funding programs for the education of the handicapped, other instruction and other specified services in Colorado.

IV. FEDERAL FUNDING OF ESA NETWORKS IN 1977-78 AND 1974-75

All special district networks received federal aid paid through their SEAs in 1977-78, according to the responding state coordinators. The 4 states with the largest amounts, in decreasing order, were California, New York, Pennsylvania and Wisconsin. Those with the largest federal funding in 1974-75, in order, were California, Pennsylvania, Wisconsin and Washington. Increases ranged from a minimal 6 per cent in California to substantial increases in New York.

The Massachusetts, New Jersey EICs, Ohio SERRCs and North Carolina regionalized networks received federal funds paid through the SEA in 1977-78, according to the project coordinators. Those with the largest federal funding were Ohio and North Carolina -- the same as in 1974-75. Increases ranged from 32 per cent for the Massachusetts networks to 576 per cent for the New Jersey EIC system.

Cooperative ESAs in Minnesota, Nebraska and South Carolina did not receive federal aid paid through SEAs in 1977-78, according to coordinator reports. Those with the largest federal funding that year were Colorado, Connecticut, and Georgia.

As for special district ESAs receiving direct aid from the federal level, state project coordinators listed Illinois, New York, Texas, Washington and Wisconsin -- but did not know the amounts. Coordinators reported that no ESAs were sole recipients of federal funds in California, Iowa, New York, Pennsylvania, Texas and Wisconsin.

No federal aid was received directly by ESAs in 1977-78 in the regionalized networks in Massachusetts, North Carolina and Oklahoma, according to the coordinators. There was no information reported on the amount of federal aid going directly to the regionals. The coordinators reported that the Massachusetts, New Jersey EICs, North Carolina and Oklahoma networks had no units designated as the sole recipient of federal funds.

Cooperative units in Alaska and South Carolina recieved no federal aid directly in 1977-78, according to the coordinators. Those in Colorado, Georgia, Indiana and Rhode Island reported that the amount of federal aid received directly that year was unknown, nor was there information given for 1974-75. According to the coordinators, no ESAs in Colorado, Georgia, Indiana, Massachusetts, Ohio, South Carolina and West Virginia were designated sole recipients of federal funds.

In a general look at the flow of federal funds, most of the responding project coordinators reported that no ESAs received federal funds in 1977-78 for general administration. Where it did exist, it had increased only slightly between 1974-75 and 1977-78. Indirect aid for general administration -- paid through the state -- was the most frequently reported type -- and affected 9 federal categorical programs.

In general, the majority of responding directors reported that no ESAs received federal funds for facilities in 1977-78. The only reported form was indirect aid with funds flowing through the SEA. Two federal categorical programs were involved in facility funding. Federal funding for ESA general services was 132 per cent greater in 1974-75 than in 1977-78. Indirect funding came mostly through the SEA, although funding through county or local government units also was reported. Four federal categorical programs were involved in the indirect funding for general services.

The picture was different for funding of education of the handicapped. A majority of the responding project coordinators reported that all ESAs in their states received federal funds for this purpose. The 1974-75 level was 14 per cent of that in 1977-78.

Specifically, in the special districts, the majority of project coordinators reported that no ESAs received federal funds for general administration. Where it did exist, the frequency was the same for direct funding, indirect funding from the state and indirect funding from county or local governments. Nine federal programs were involved. All ESAs received federal funds for education of handicapped children, according to most responding project coordinators. Some ESAs received funding for other federal programs, but most coordinators reported that specific federal funds reached ESAs indirectly through the state.

All regionalized networks received federal funds for general administration, according to the majority of responding project coordinators. The level in 1974-75 was only about 15 per cent of that in 1977-78. Two federal categorical programs were involved. All regionalized networks received federal funds for the education of handicapped children. For all specific federal program services, the funding in 1974-75 was about 40 per cent of that in 1977-78.

All cooperative networks received federal funds for general administration, according to the responding project coordinators. Both direct and indirect federal funding through the state were reported, with 1 federal program involved. There were no reports of ESAs receiving federal funds for facilities. Half of the responding coordinators said no ESAs received federal funds for general services. Equally frequent were funding through the state indirectly and through county or local governments indirectly. Three federal programs were involved. All those coordinators who responded reported that all ESAs received federal funds for education of handicapped children. Some received federal funds for vocational education, media and library services, data processing and adult education. Federal funding for these specific services in 1974-75 was only about 10 per cent of that in 1977-78.

V. REVENUE SOURCES OF ESA NETWORKS IN 1977-78 AND 1974-75

In the special district networks, the mean anticipated revenue in 1977-78 from within ESAs, as reported by executive officers ranged from a high of $7,120,000 in New York to only $12,000 in Illinois (See Figure 13.) The mean anticipated revenue for all the networks was $2,514,000. The mean anticipated revenues were greater than those received in 1974-75, where comparative information was available. Increases ranged from 15 per cent in Pennsylvania to 1300 per cent in Illinois. Generally the mean anticipated revenue from within ESAs in 1977-78 was 6 per cent greater than the mean reported for 1974-75.

Special district networks had a mean anticipated revenue from state sources in 1977-78 of $2,358,000. The range was from a high of $7,662,000 in Pennsylvania to $73,000 in Illinois. The 1977-78 mean anticipated revenue from state sources was greater than that received in 1974-75 for all states where information was available (except Oregon, which had a 15 per cent decrease.) New York had a minimal increase (5 per cent,) while Texas, Wisconsin and Washington had substantial increases. The overall increase was 28 per cent.

The mean anticipated pass-through revenue from federal level to ESAs, through the states, ranged from $1,457,000 in Pennsylvania to $40,000 in Texas. For all states, except Ohio and Wisconsin, the mean revenue from federal sources passed on by the states was greater than the mean revenues paid directly from the federal level to ESAs. The mean anticipated revenue passed on by the states was $756,000. The pass-through funds also were greater than in 1974-75 in states where information was available, except for 2 states (Ohio was down 38 per cent and Oregon was down 9 per cent.) Increases ranged from modest in New York to substantial in Pennsylvania (95 per cent.) The mean reported anticipated ESA revenue for 1977-78 from federal sources paid through the SEA was 46 per cent greater than in 1974-75.

The total anticipated mean receipts in special district networks in 1977-78 from all sources ranged from $6,820,000 in New York to $561,000 in Ohio, with the mean at $5,367,000. (See Figure 14) This mean was greater in all state networks than in 1974-75 (where information was available), except for Illinois, where total mean receipts decreased 41 per cent. There were modest increases in New York and Oregon and a very large one in Michigan. The anticipated total mean receipts from all sources in 1977-78 was 67 per cent than the 1974-75 level.

The percentage distribution of mean receipts to special district ESAs in 1977-78 was: (See Figure 14)

- Revenue from within ESAs -- 38 per cent
- Revenue from state sources -- 41 per cent
- Revenue from federal sources paid directly to ESAs -- 6 per cent
- Revenue from federal sources paid through the SEA to ESAs -- 12 per cent
- Non-revenue sources -- 3 per cent

For the regionalized networks, the anticipated total mean receipts from all sources in 1977-78 ranged from $1,092,000 for the New Jersey EIC network to $157,000 for the Oklahoma network. (See Figure 15.) The figure was greater than the receipts in 1974-75 in all states, except Massachusetts, where it decreased by 54 per cent. There were moderate increases in North Carolina and in the New Jersey EICs, and a 122 per cent jump in Oklahoma. The anticipated total mean receipts from all sources was 118 per cent greater than in 1974-75.

The anticipated mean revenue from within cooperative ESAs for 1977-78 ranged from $3,076,000 in Connecticut to $81,000 in Ohio. The mean was $392,000. The anticipated mean revenue from state sources ranged from $2,568,000 in Massachusetts to $100,000 in Indiana. The anticipated mean from state sources was $309,000. Greater than the 1974-75 level for all states where information was available, except for Nebraska, where it decreased 211 per cent. Other increases ranged from minimal in Colorado to substantial in Massachusetts and Connecticut. The overall mean was 23 per cent greater than in 1974-75.

The anticipated mean revenue from federal sources paid directly to cooperative networks was $51,000 in 1977-78, with a high in West Virginia of $227,000 and a low of $8,000 in Georgia. It was greater in virtually all states where information was available than in 1974-75 -- with overall increases of 42 per cent.

The anticipated mean revenue from federal sources paid through the SEA was $256,000, and ranged from $1,250,000 in Connecticut, to $98,000 in Georgia. In all states where data was reported, the amount of federal funds passed to ESAs from the SEA was greater than the amount distributed directly to ESAs.

The anticipated total mean receipts from all sources for cooperative networks in 1977-78 was 65 per cent greater than the 1974-75 level. The range was from $4,779,000 in Connecticut to $143,000 in Ohio -- with a mean of $666,000.

The percentage distribution of mean receipts for cooperative ESAs in 1977-78 was:

Revenue from within ESAs -- 36 per cent

Revenue from state sources -- 28 per cent

Revenue from federal sources paid directly to ESAs -- 5 per cent

Revenue from federal sources paid through the SEA -- 23 per cent

Non-revenue sources -- 8 per cent

VI. BUDGET EXPENDITURES OF ESA NETWORKS AND UNITS IN 1977-78 AND 1974-75

The project coordinators reported anticipated statewide special district ESA expenditures from all sources for 1977-78 ranged from a low of $5,986,000 for Illinois to a high of $410,000,000 for California (See Figure 16.) There was a decrease reported since 1974-75 for Illinois, moderate increases in New York, Pennsylvania, California and Wisconsin; and a higher increase in Washington.

In the regionalized networks, responding project officers reported an anticipated 1977-78 range of statewide ESA expenditures from all sources from a low of $825,000 in Massachusetts to a high of $3,771,000 in Ohio. Changes from 1974-75 ranged from relatively small in Massachusetts to much higher in the New Jersey EIC network.

The reports on cooperative ESAs show anticipated statewide expenditures from all sources in 1977-78 ranged from a low of $350,000 in Alaska to a high of $17,360,000 in Colorado. There was a substantial increase in Ohio over 1974-75.

Separating out non-federal sources, the project officers reported that special district networks anticipated statewide expenditures in 1977-78 that showed a low of $14,763,000 in Washington, and a high of $365,000,000 in California. Changes from 1974-75 ranged from a minimal in Wisconsin and New York to large in Washington.

Statewide expenditures from non-federal sources in the regionalized networks ranged from a low of $495,000 in Massachusetts, to a high of $3,050,000 in Oklahoma. There were large increases for the North Carolina, Oklahoma and New Jersey EIC networks (284 per cent in the last one.)

For the cooperative ESAs, statewide expenditures from non-federal sources ranged from a low of $275,000 in Ohio, to a high of $12,460,000 for Alaska. There was a substantial increase for the Ohio network over 1974-75 levels.

Looking at the percentages of state and federal aid, state aid ranged from a low of 31.9 per cent in Washington, to nearly 2/3 of the total expenditures in Illinois and Pennsylvania in the special district ESAs. Federal aid ranged from a low of 3.7 per cent in Illinois, to about 1/3 of the total expenditures in Washington.

In the regionalized systems, state aid percentages ranged from zero in the Ohio SERRC networks to 100 per cent in the Oklahoma network. Federal aid ranged from zero for the New Jersey CSS and Oklahoma networks to 100 per cent

of the Ohio SERRCs.

State aid as a per cent of the total cooperative network expenditures ranged from zero in Ohio RESAs to 100 per cent in Alaska. Federal aid ranged from zero in Alaska, Minnesota and Nebraska to 44.4 per cent for the Ohio RESAs.

The mean reported anticipated special district expenditures for 1977-78 were $4,924,000, ranging from $8,905,000 in Pennsylvania to $470,000 in Illinois. (See Figure 17.) They were greater than the actual mean expenditures in 1974-75 in all states where information was available, except for Illinois and Wisconsin, representing a 31 per cent increase. The increase was lowest in Oregon (24 per cent) and highest in Washington (82 per cent.)

The mean reported anticipated expenditures for the regionalized networks in 1977-78 was $769,000, and ranged from a high of $1,061,000 for the New Jersey EICs to $131,000 for Oklahoma. Where information was available, the expenditures were greater than in 1974-75, ranging from 54 per cent in New Jersey EIC network to 95 per cent in Oklahoma. The overall mean increase was 25 per cent.

Participating cooperative unit ESA executive officers reported that the mean anticipated expenditures in 1977-78 was $2,551,000, ranging from a high of $10,541,000 for Minnesota to a low of $190,000 for the Ohio RESA network. The expenditures were greater than in 1974-75 for all states except Minnesota, where they decreased 63 per cent, and Maryland, where they were unchanged. Colorado had the highest increase -- 232 per cent.

VII. BUDGET EXPENDITURES OF ESA NETWORKS IN 1977-78 AND 1974-75 BY PROGRAM AREAS

Taking an overall look at the 3 types of ESAs, 1/2 or more of the participating executive officers reported expenditures in the areas of education for the handicapped, general administration and media and library services (See Figure 18.) Between 1/4 and half funded federal programs, data processing services, vocational education, curriculum services, transportation services, staff development, pupil personnel services, general academic instruction and gifted and talented education. Altogether there were 26 program areas, but 4 of them -- education of the handicapped, general administration, federal programs and vocational education -- accounted for about 2/3 of the reported expenditures.

The reported expenditures in 1974-75 were 83 per cent of those in 1977-78, with the largest percentage increases in evaluation services (2590 per cent,) transportation services (340 per cent,) purchasing services (165 per cent,) federal programs (140 per cent,) alternative schools (108 per cent,) bilingual education (103 per cent,) and personnel services (103 per cent.) Decreases were reported for gifted and talented education (30 per cent,) research and development (18 per cent,) and adult education (11 per cent.)

In the special districts, 1/2 or more of the officers reported expenditures for ESA general administration, education of the handicapped, media and library services, data processing, federal programs, and transportation (See Figure 19.) Between 1/4 and 1/2 of the officers reported expenditures

for curriculum services, staff development, pupil personnel services, adult education, gifted and talented education, general academic instruction and planning services. Programs with the largest expenditures were education of the handicapped, vocational education, federal programs, general administration, data processing, transportation and media and library services. The largest increases over 1974-75 levels were for transportation (344 per cent,) purchasing services (185 per cent,) federal programs (157 per cent,) bilingual education (104 per cent,) and alternative schools (102 per cent.) Adult education expenditures decreased 12 per cent.

One-half or more of the executive officers of regionalized networks reported expenditures for education of the handicapped -- the only program in a majority of the networks. Less than 10 per cent of the officers reported expenditures in all other program areas. The largest increases were reported for curriculum services, financial services, federal programs, evaluation services, and education of the handicapped.

Three program areas were financed by 1/2 of the cooperative networks -- general administration, education of the handicapped and media and library services. (See Figure 20.) Between 1/4 and 1/2 of the officers reported expenditures for federal programs, staff development, purchasing and evaluation services, general academic instruction and curriculum services. The cooperatives accounted for 15 per cent of the reported expenditures in the 26 program areas of the survey. Programs with the largest expenditures were education of the handicapped, general administration, federal programs, vocational education, general academic instruction and planning services. The largest percentage increases over 1974-75 were for planning services, outdoor and environmental education, data processing, gifted and talented education, financial services, information services, pupil personnel services and personnel services. There was a 17 per cent decrease in curriculum services.

VIII. METHODS OF ALLOCATING COSTS AND METHODS OF PAYMENT FOR SERVICES

For all the service agencies, executive officers reported most frequently that the cost allocations for general administration was on a no-charge basis, but allocations on an LEA pupil population basis was reported almost as frequently (See Table 21.) A per pupil served basis was used occasionally. Cash payment from LEAs was the most frequently reported way of paying, with partial payment by the state used almost as much. Costs for direct instructional services of education of the handicapped and vocational education were reported on a per pupil basis most frequently. Methods of payment were most often cash payment from LEAs or partial payment by the state and federal payment through the SEA.

Looking at special districts only, the most frequently reported cost allocation basis for general administration was LEA pupil population, but ESAs didn't charge for this almost as frequently. Costs on a per pupil served basis was used in a majority of the reporting ESAs for education of the handicapped and vocational education. About 20 per cent of the respondents reported no charge for these direct instruction services, and about 10 per cent reported using LEA pupil population as the basis. Cash payment for these 2 services.

Virtually none of the respondents reported allocating costs in the regionalized systems for general administration, and virtually all reported that most direct instructional services were allocated on a pupil served basis.

In the cooperative systems, about 2/3 of the executive officers who responded said that general administration was offered on a no-charge basis. None of the methods listed in the survey was reported by a majority of the officers for cost allocation of specific direct instructional services. Reported with similar frequency were cost allocations on a per-pupil served basis, on an LEA pupil participation basis and on a no-charge basis.

IX. BORROWING AND INVESTMENT PRACTICES OF ESA NETWORKS

In the special district networks, more than half of responding executive officers reported that no money was borrowed during the past 3 years. Some officers in Illinois, New York, Ohio, Pennsylvania and Washington reported they had no borrowing authority. Recent borrowing was reported by some in Iowa, Oregon, Texas and Washington, and by over half of those responding from Michigan, New York and Pennsylvania. The borrowed money was used mostly for current operations. About 3/4 of the officers reported investing idle funds in certificates of deposit or other high interest securities (fewer in Illinois and Ohio.)

Most officers in the 4 responding regionalized networks reported no recent borrowing of funds for operating expenses or for capital outlay, and none reported investment of idle funds in high yielding securities.

In 2/3 of the cooperative networks, there had been no recent borrowing of funds, according to the participating officers. Most officers in 7 of the states reported investing idle funds in high interest securities.

X. ANNUAL BUDGET PLANNING AND APPROVAL PROCEDURES USED BY ESA NETWORKS

In special district networks (See Table 22,) the state project coordinators for 7 states reported using a state mandated budget calendar for development of the annual ESA budget (California, Illinois, Iowa, New York, Ohio, Pennsylvania and Texas.) In the Iowa, New York, Ohio and California networks, the budget planning process begins with preliminary requests from LEAs for service, which are also submitted to the SEA in California, New York, Washington and Wisconsin; and by the county board in Illinois and Ohio before being submitted to the SEA. Approval by the SEA is needed in California and Wisconsin, and by the state board in Iowa.

State project coordinators reported the use of a state mandated budget calendar in the regionalized systems for Massachusetts, New Jersey EICs, New Jersey CSSs, and both networks in Ohio. The planning calendar begins when the ESA budget is submitted to the SEA (a 2 step process for Massachusetts and Ohio, and a 4 step process for the New Jersey EICs.) The New Jersey CSSs submit their budgets to the Budget Bureau, governor's office and the legislature.

Project coordinators in 5 of the cooperative network states reported the use of a state mandated budget calendar (Colorado, Georgia, Massachusetts, Nebraska and Ohio.) In 4 of the states, the calendar starts with budget approval by the ESA and the LEAs. In 2 states, the ESA budgets must be sent to the SEA.

As for participation in budget planning for special district ESAs, in California the governing board participates in the budget planning. Iowa begins at the LEA level where 3 groups must be included -- the executive officer, the governing board, and citizen advisory groups. The county government must be involved in Illinois. In Ohio, beginning at the LEA level, the executive officer and governing board participate, and in Pennsylvania the LEA executive officer and governing boards are involved. In the budget approval phase, LEAs participate in Ohio and Pennsylvania; 4 states need county board approval; 4 states need SEA approval; 1 needs CCSSO approval; and 2 must have state board approval.

In the regionalized networks, all project coordinators reported SEA involvement in budget planning. For the New Jersey EIC network, the governing board also participates, and Massachusetts adds advisory group involvement. SEA approval is needed in all 7 states.

In 5 of the 13 cooperative networks, representatives of local education agencies must participate in the budget planning. Only Indiana requires SEA involvement. As for budget approval, LEA participation is required in only Massachusetts and Ohio. Georgia, Indiana, Maryland, Ohio and West Virginia require state level approval, usually by the SEA.

XI. ACCOUNTING AND AUDITING PROCEDURES USED BY ESA NETWORKS

All responding state project coordinators reported that special district ESAs have required accounting procedures. In California, Iowa, Ohio, Pennsylvania and Texas they must use the same accounting and coding system as the LEAs.

The New Jersey EICs, Ohio SERRCs and Oklahoma regionalized networks must have accounting procedures the same as for LEAs, according to the state project coordinators.

All responding state project coordinators reported that cooperative ESAs must have accounting procedures, except in Colorado. In Alaska, Connecticut, Georgia, Massachusetts, Nebraska, and Rhode Island, the procedures must be the same as for LEAs.

New York, Ohio, Pennsylvania, Texas and Washington require special district networks to have state audits, according to the state project coordinators. Procedures are the same as for LEAs, except in New York. Iowa requires the ESA to be audited, but not by a state agency. Auditing is annual in 3 states, biannual in 2, and every 2 or 3 years in one. All states, except Ohio and Washington, allow optional independent audits, which must be filed with the state.

Project coordinators reported required audits for the regionalized systems in Ohio and Oklahoma, with procedures the same as in LEAs. Audits are annual in Oklahoma and every 3 years in Ohio.

All cooperative networks, except Nebraska, require an audit, according to the state project coordinators. ESAs were using the same procedures as LEAs in all states, including Colorado, which also calls for independent audits. Only 2 states specified how often the audits must be done.

XII. SUMMARY OF MAJOR FINDINGS

Taxing authority:

1. Only 5 networks had taxing authority in 1977-78, 4 of which were special district systems. No regionalized system had the authority, and the Nebraska network was the only cooperative type with the authority to tax. There were limitations on the taxing authority in all cases.

2. Among the 5 networks with taxing authority, there were differences as to what could be supported by taxes. All 5 could certify the levying of only a property tax. Four could certify a tax request for ESA facilities, 4 could certify for administrative costs, and 3 could certify for all or some services.

State funding:

3. Eighteen of the networks received state monies in 1977-78. Of the 6 that reported they did not, 4 were cooperative networks.

4. In 9 of the 11 networks for which state funds were received in both 1974-75 and 1977-78, the amount of state monies increased. Percentage increases range from 9 per cent to 284 per cent. Illinois and Georgia reported slight decreases in state funds. The largest percentage increases were in the regionalized networks.

5. Seventeen networks were designated as the sole recipient of state funds for 1 or more program areas.

6. The primary variable used in state formula for funding all categories of ESA services was the amount of the annual ESA appropriation for special district ESAs, and the cost of ESA operations in the regionalized systems. There was no predominate variable for the cooperative ESAs.

7. For all ESAs, a formula only for ESAs was used to determine state aid more frequently than the use of the same formula as for LEAs. State categorical payments, according to ESA services, were more frequent than lump sum payments, as were direct rather than indirect payments. Current aid payment was reported more frequently than reimbursement aid.

Federal funding:

8. Twenty-four of the networks received federal aid in 1977-78. Five of the networks that reported receiving no federal monies were cooperative systems.

9. In 12 of the 13 networks on which there was data for both 1974-75 and 1977-78, the amount of federal aid increased. Percentages ranged from 6 to 646 per cent (Georgia reported a slight decrease.) The largest percentage increase occurred in the regionalized systems, but the largest single increase, percentagewise, was in New York's special district system.

10. None of the ESA networks were reported designated as the sole recipient of federal funds.

11. For all services, federal monies were most frequently reported flowing indirectly to the ESAs through the state government. There were some instances of direct payment.

12. For all categories of services, 18 different federal funding programs were reported.

Percentage distribution of revenues:

13. For special district ESAs in 1977-78, the percentage distribution of mean receipts from all sources was revenue within ESAs, 38 per cent; revenue from state sources, 41 per cent; revenue from federal sources, 18 per cent; and other sources, 3 per cent.

14. For cooperative networks in 1977-78, the percentage distribution of mean receipts from all sources was revenue from within ESAs, 36 per cent; from state sources, 28 per cent; from federal sources, 28 per cent; and other sources, 8 per cent.

15. Special district networks got more of their share of funds from the state than did the cooperative networks, who got a greater share of their funds from federal sources passed through the SEAs. Both types of networks received similar proportions of their revenue from within ESAs and from federal sources paid directly to ESAs.

Changes in level of expenditures:

16. In 14 of the 15 networks for which statewide expenditures from all sources were reported for both 1974-75 and 1977-78, the amount of statewide expenditures increased, with percentage increases ranging from 20 to 465 per cent. Illinois reported a slight decrease. The largest percentage increases occurred in the regionalized systems.

17. In all of the 12 networks where there was data on both 1974-75 and 1977-78, on non-federal sources, the amount of expenditures increased, with the percentages ranging from 9 to 358 per cent.

18. Mean anticipated 1977-78 expenditures for special districts ranged from a low of $470,000 in Illinois to a high of $8,095,000 in Michigan. The mean for all districts was $4,938,000. The anticipated mean increased in all special district networks over 1974-75, except Wisconsin and Illinois, with the mean increase at 54 per cent.

19. Anticipated 1977-78 mean expenditures for regionalized systems ranged from $131,000 in Oklahoma to $1,061,000 for the New Jersey EIC network. The mean was $769,000 for all regional systems. The increase over 1974-75 was 125 per cent.

20. Anticipated 1977-78 mean expenditures for cooperative systems ranged from $190,000 in Nebraska to a mean for all systems of $2,551,000. All cooperative systems increased their expenditures over 1974-75.

Spending by programs:

21. One-half or more of the executive officers reported ESA expenditures in 1977-78 for education of the handicapped, general administration and media and library services.

22. Special district expenditures for the 26 program areas in the survey accounted for about 85 per cent of all reported expenditures. Cooperative systems accounted for 15 per cent and regionalized systems, less than 1 per cent.

23. For all ESAs, the program areas with the largest reported expenditures in 1977-78 were education of the handicapped ($282,076,000), vocational education ($199,097,000), federal programs ($75,714,000), general administration ($74,619,000), data processing ($50,204,000), transportation ($40,591,000), media and library services ($37,427,000), and evaluation services ($29,638,000).

24. For all ESAs, expenditures in 4 program areas -- education of the handicapped, vocational education, federal programs and general administration -- accounted for 66 per cent of the expenditures in the 26 program areas.

25. For all ESAs, expenditures in the 8 largest program areas by percentages were: education of the handicapped (34 per cent,) vocational education (14 per cent,) federal programs (9 per cent,) general administration (9 per cent,) data processing services (6 per cent,) transportation services (5 per cent,) media and library services (4 per cent,) and evaluation services (4 per cent.)

26. For all ESAs, the largest percentage increases from 1974-75 to 1977-78 were in program area of evaluation services, transportation services, purchasing services, federal programs, alternative schools, bilingual education, and personnel services. There were decreases in the areas of gifted and talented education, research and development and adult education. There were minimal increases in expenditures for education of the handicapped, vocational education, general administration and pupil personnel services.

27. For special district networks, the largest increases from 1974-75 to 1977-78 were for transportation, purchasing, federal programs, evaluation, staff development, bilingual education and alternative schools. Adult education expenses decreased. There were minimal increases in the education of the handicapped, vocational education, information services, pupil personnel services, general administration and research and development.

28. The largest percentage increases in regionalized networks from 1974-75 to 1977-78 were for curriculum services, financial services, federal programs, evaluation services and education of the handicapped.

29. For cooperative networks, the largest percentage increases between 1974-75 and 1977-78 were for planning services, outdoor and environmental education, data processing, gifted and talented

education, financial services, information services and pupil personnel services. Decreases were reported for curriculum services. Minimal increases were reported for legislative services, adult education, federal programs and migrant education.

Methods of payment:

30. General administration services were most frequently offered on a no-charge basis (67 of 176 ESAs responding), or on an LEA pupil population basis (55). The most frequently reported methods of payment were cash payment from LEAs and partial payment from the state.

31. Cost allocations and payment methods used by ESAs differed according to the category of service offered.

Fiscal management:

32. A majority of the units have borrowing authority, and 63 per cent of them borrowed money at least once since 1974-75. The monies were mostly used for current operating expenses and capital outlays.

33. A majority of the networks (17 of 29) use a state mandated calendar for the development of an annual budget. A majority of those not required to use such a calendar were cooperative networks.

34. Networks are required to follow a number of steps in developing annual budgets, especially the 7 special district networks that function under state mandated procedures.

35. ESA networks were required to involve a number of groups in the development of their annual budgets, both internally and externally. The most frequently involved ESA level groups were the ESA governing boards and ESA advisory groups. Eight networks must involve the SEA, including all of the regionalized systems. Executive officers of LEAs and LEA governing boards were mentioned frequently as participants.

36. In the approval process, there was also a great deal of involvement of groups within and without the ESAs. State level officials must approve the budgets of 15 of the networks, including 6 special district networks, 6 cooperative networks and all 7 regionalized networks. LEA officials must approve the budgets of 3 special district networks, and 2 of the cooperative networks must have their budgets approved by groups at both the state and local levels. No network needed voter approval.

37. A substantial majority (24) of the networks must use a prescribed procedure to manage their internal fiscal accounting. In 14 of the cases, the ESA accounting and coding procedures were similar to those required of LEAs.

38. Fourteen networks must have audits conducted by a state agency, and for 12 of these, the requirements for ESAs are similar to those for LEAs.

TABLE 18 NUMBER OF ESAs POSSESSING TAXING AUTHORITY, TAXING LIMITATIONS, AND ESA OPERATIONS FOR WHICH TAXES CAN BE CERTIFIED

TYPE of ESA and STATE	Possess Taxing Authority[b]		Tax Limitations		ESA Operations For Which Taxes May be Levied			
	Yes	No	Yes	No	Administration	Facilities	All Services	Selected Services
TYPE A: SPECIAL DISTRICT ESA								
1. California	X	-	X	-	X	X	-	X[a]
2. Illinois	-	X	-	-	-	-	-	-
3. Iowa	-	-	-	-	-	-	-	-
4. Michigan	X	-	X	-	-	-	-	-
5. New York	-	X	-	-	-	-	-	-
6. Ohio (COE)	-	X	-	-	-	-	-	-
7. Oregon	X	-	X	-	X	X	-	X
8. Pennsylvania	-	X	-	-	-	-	-	-
9. Texas	-	X	-	-	-	-	-	-
10. Washington	-	X	-	-	-	-	-	-
11. Wisconsin	-	X	-	-	-	-	-	-
Total	3	7	3	-	2	2	-	2
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	-	X	-	-	-	-	-	-
2. New Jersey (EIC)	-	X	-	-	-	-	-	-
3. New Jersey (CSS)	-	X	-	-	-	-	-	-
4. Ohio (SERRC)	-	X	-	-	-	-	-	-
5. Ohio (FSAC)	-	X	-	-	-	-	-	-
6. North Carolina	-	X	-	-	-	-	-	-
7. Oklahoma	-	X	-	-	-	-	-	-
Total	-	7	-	-	-	-	-	-
TYPE C: COOPERATIVE ESA								
1. Alaska	-	X	-	-	-	-	-	-
2. Colorado	-	X	-	-	-	-	-	-
3. Connecticut	-	X	-	-	-	-	-	-
4. Georgia	-	X	-	-	-	-	-	-
5. Indiana	-	X	-	-	-	-	-	-
6. Maryland	-	X	-	-	-	-	-	-
7. Massachusetts (EC)	-	X	-	-	-	-	-	-
8. Minnesota	-	X	-	-	-	-	-	-
9. Nebraska	X	-	X	-	X	X	X	-
10. Ohio (RESA)	-	X	-	-	-	-	-	-
11. Rhode Island	-	X	-	-	-	-	-	-
12. South Carolina	-	X	-	-	-	-	-	-
13. West Virginia	-	X	-	-	-	-	-	-
Total	1	12	1	-	1	1	1	-

Note(s)

a) Special Education

b) In all cases, a property tax is the type of tax that can be certified.

TABLE 19 NUMBER OF ESA NETWORKS DESIGNATED AS SOLE RECIPIENTS OF STATE AND FEDERAL FUNDS

TYPE of ESA and STATE	ESA Designated as Sole Recipient of State Funds		ESA Designated as Sole Recipient of Federal Funds	
	Yes	No	Yes	No
TYPE A: SPECIAL DISTRICT ESA				
1. California	-	X	-	X
2. Illinois	X	-	-	-
3. Iowa	X	-	-	X
4. Michigan	-	X	-	-
5. New York	-	X	-	X
6. Ohio (COE)	X	-	-	-
7. Oregon	-	X	-	-
8. Pennsylvania	X	-	-	X
9. Texas	X	-	-	X
10. Washington	X	-	-	-
11. Wisconsin	X	-	-	X
Total	7	4	-	6
TYPE B: REGIONALIZED SEA/ESA				
1. Massachusetts (REC)	-	X	-	X
2. New Jersey (EIC)	X	-	-	X
3. New Jersey (CSS)	-	X	-	-
4. Ohio (SERRC)	-	-	-	-
5. Ohio (FSAC)	-	-	-	-
6. North Carolina	-	X	-	X
7. Oklahoma	X	-	-	X
Total	2	3	-	4
TYPE C: COOPERATIVE ESA				
1. Alaska	X	-	-	-
2. Colorado	X[a]	-	-	X
3. Connecticut	X	-	-	-
4. Georgia	X	-	-	X
5. Indiana	X	-	-	X
6. Maryland	-	X	-	-
7. Massachusetts (EC)	-	X	-	X
8. Minnesota	X	-	-	-
9. Nebraska	-	X	-	-
10. Ohio (RESA)	-	X	-	X
11. Rhode Island	X	-	-	-
12. South Carolina	-	X	-	X
13. West Virginia	X	-	-	X
Total	8	5	-	7
Total All ESAs	17	12	-	17

Note(s)

a) Set aside monies for aphasic children

TABLE 20 PRIMARY VARIABLES USED IN STATE FORMULAS FOR FUNDING ALL ESA NETWORKS IN 1977-78, TYPE OF AID, AND CONDITIONS AND/OR LIMITS ON STATE AID, BY CATEGORY OF SERVICE

Category of Service	Number of SEA Project Coordinators Responding:	Primary Variables Used in State Formula for Funding ESAs								Procedures for Issuing State Aid								Conditions and/or Limits of State Aid								
		General Population of ESA	Total LEA Pupil Population in ESA	Pupil Participation in ESA Programs	Cost of ESA Operation	Wealth of LEAs	Effort of LEAs	Amount of Annual State Appropriation	Other	Funding Formula		Dollar Level		Dollar Flow		Payment for Services		Percent of Service Expenditures	Matching	Phased Reduction	Equipment	Salaries	Minimum Number of Pupils	Minimum Number of Districts	Maximum Cost	Other
										Same Formula for LEA Operation	Specific ESA Formula	Lump Sum-Same for all ESAs	Categorical According to ESA Service	Direct to ESA	Indirect Through LEA	Current	Reimbursement									
General Administration	11	1	1	-	6	1	1	5	3	-	4	3	1	4	-	2	1	-	-	-	-	2	1	-	1	4
Facilities	6	-	-	-	4	2	1	4	1	1	1	-	1	4	-	3	-	-	-	-	-	1	-	-	1	-
General Services	8	1	3	-	3	2	2	5	2	-	4	-	1	9	-	5	2	-	-	-	-	1	-	-	-	2
Specific Services																										
Ed.of Pupils w/Handicap Cond	7	-	1	4	1	1	1	3	-	2	2	-	2	6	3	5	1	1	-	-	1	1	-	-	1	1
Vocational and Occupational	3	-	1	1	1	1	2	1	1	1	-	-	-	1	2	1	1	-	-	-	-	-	-	-	-	-
Other Instruction	1	-	-	-	-	-	1	-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	-	-	1
Media and Library Services	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Data Processing	2	-	1	-	-	-	-	2	-	-	1	-	1	1	-	1	-	-	-	-	-	-	-	-	-	-
Adult Education	1	-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Specified Others	2	-	1	-	1	-	1	1	-	-	1	-	1	1	-	2	-	-	-	-	-	-	-	-	-	1

FIGURE 13

TOTAL MEAN REVENUE OF SPECIAL DISTRICT ESA NETWORKS, 1977-78

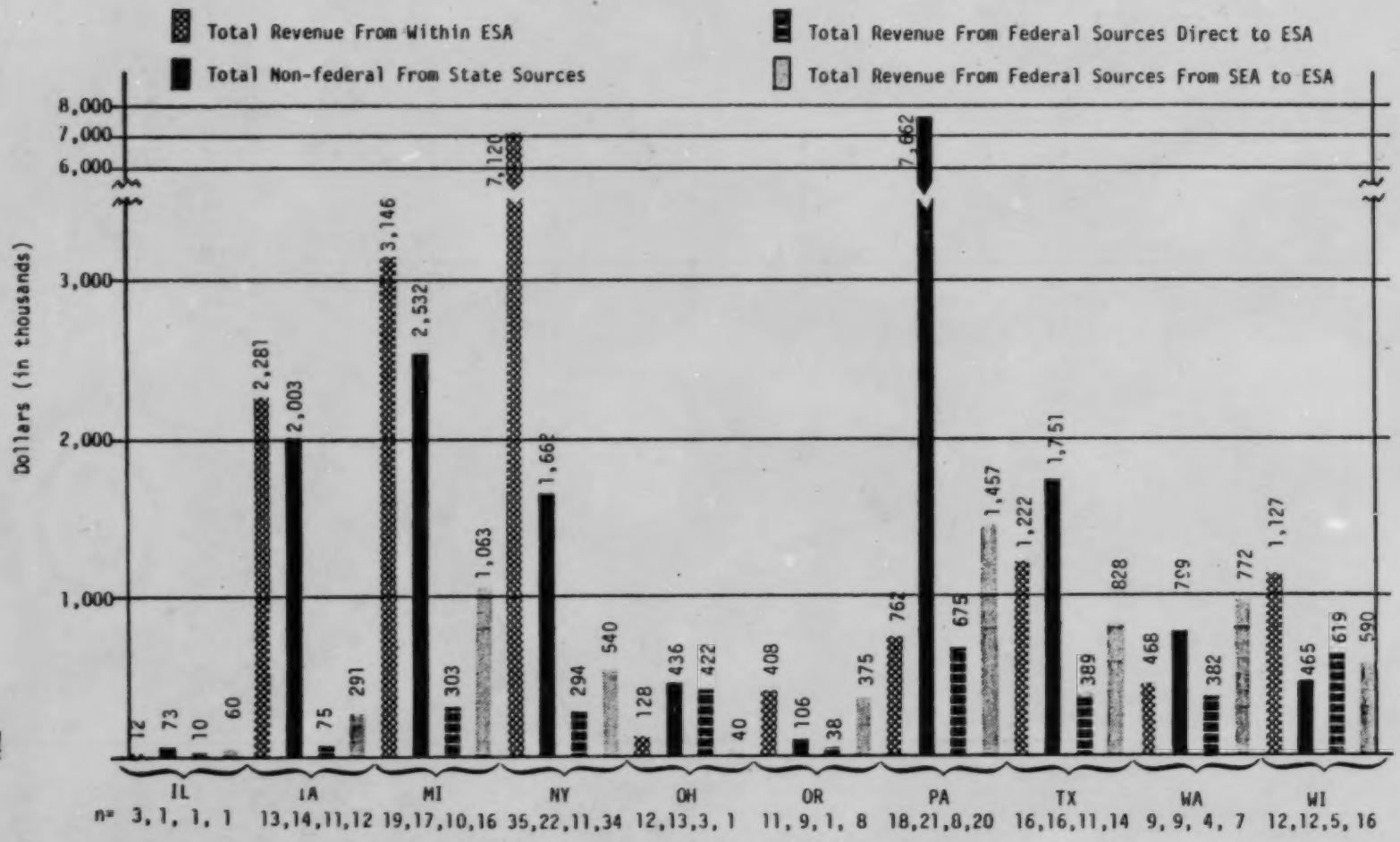


FIGURE 14

PERCENTAGE DISTRIBUTION OF MEAN RECEIPTS OF SPECIAL DISTRICT ESA NETWORKS, 1977-78

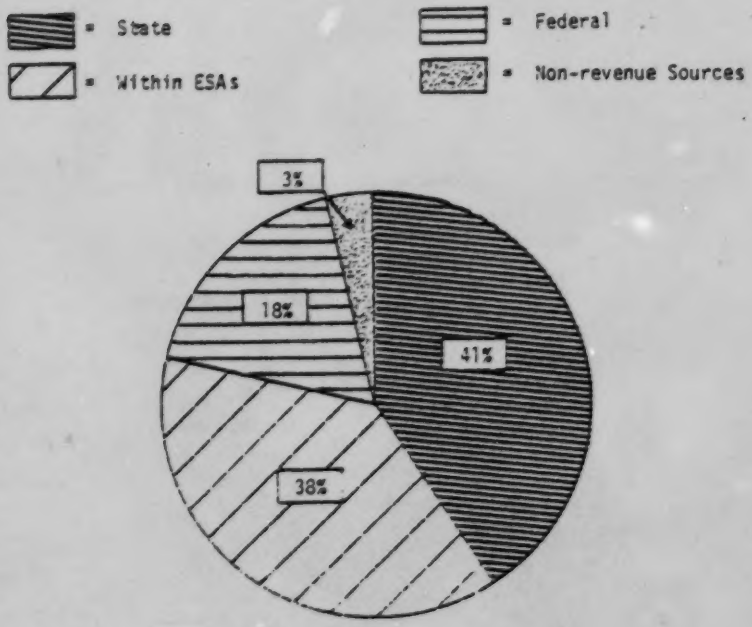


FIGURE 5

PERCENTAGE DISTRIBUTION OF MEAN REVENUE RECEIPTS OF COOPERATIVE ESA NETWORKS, 1977-78

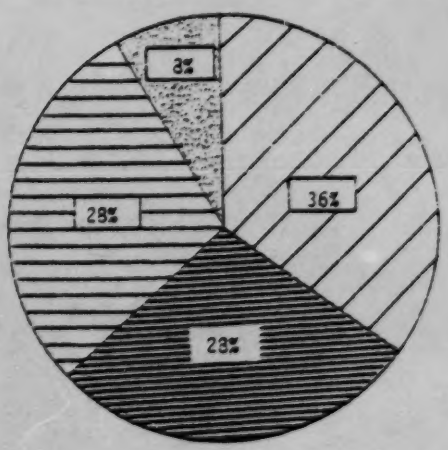


FIGURE 15

TOTAL MEAN REVENUE OF REGIONALIZED SEA/ESA AND COOPERATIVE ESA NETWORKS, 1977-78

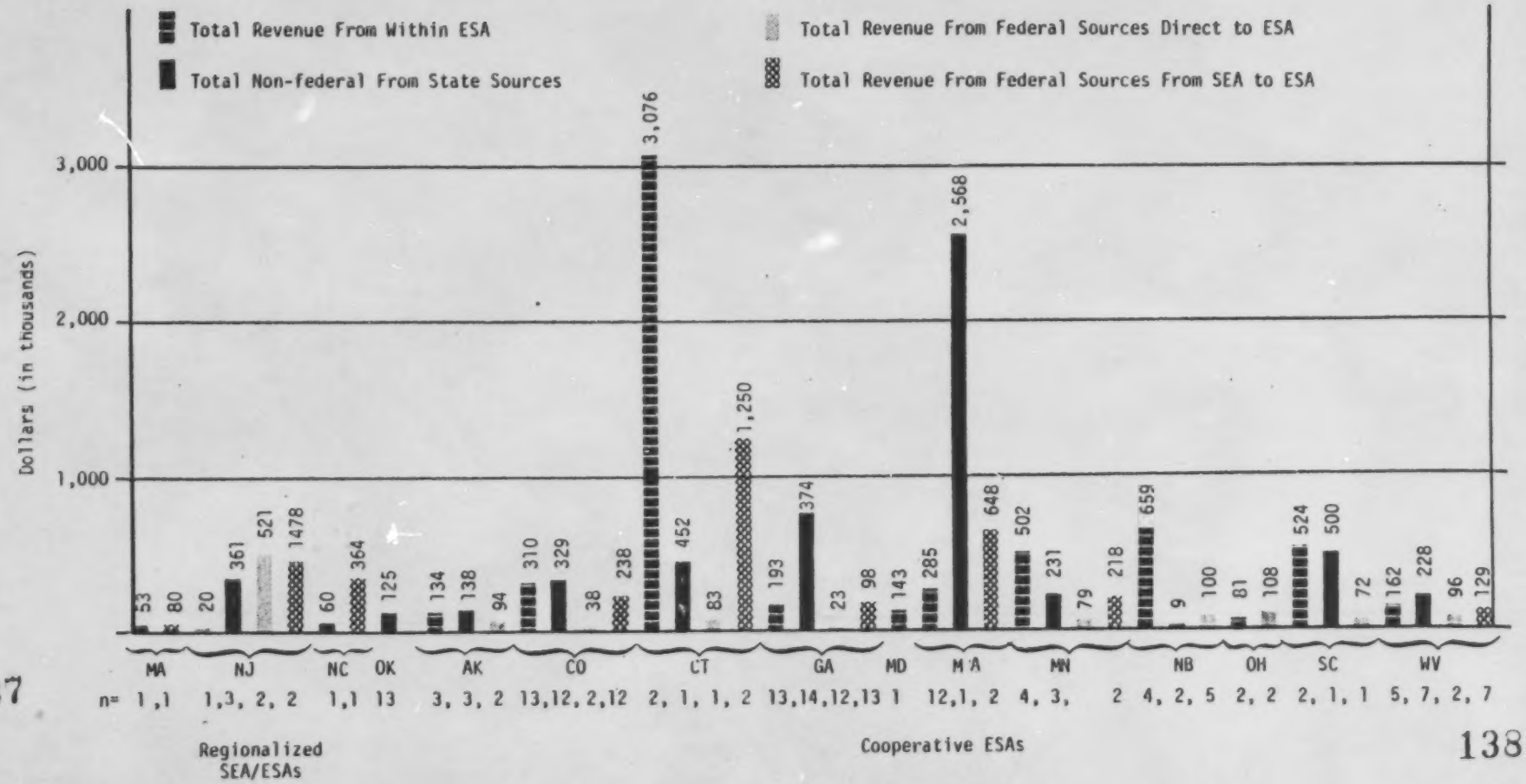


FIGURE 16

ESTIMATED TOTAL STATEWIDE EXPENDITURES OF ESA NETWORKS
ANTICIPATED 1977-78 AND ACTUAL 1974-75

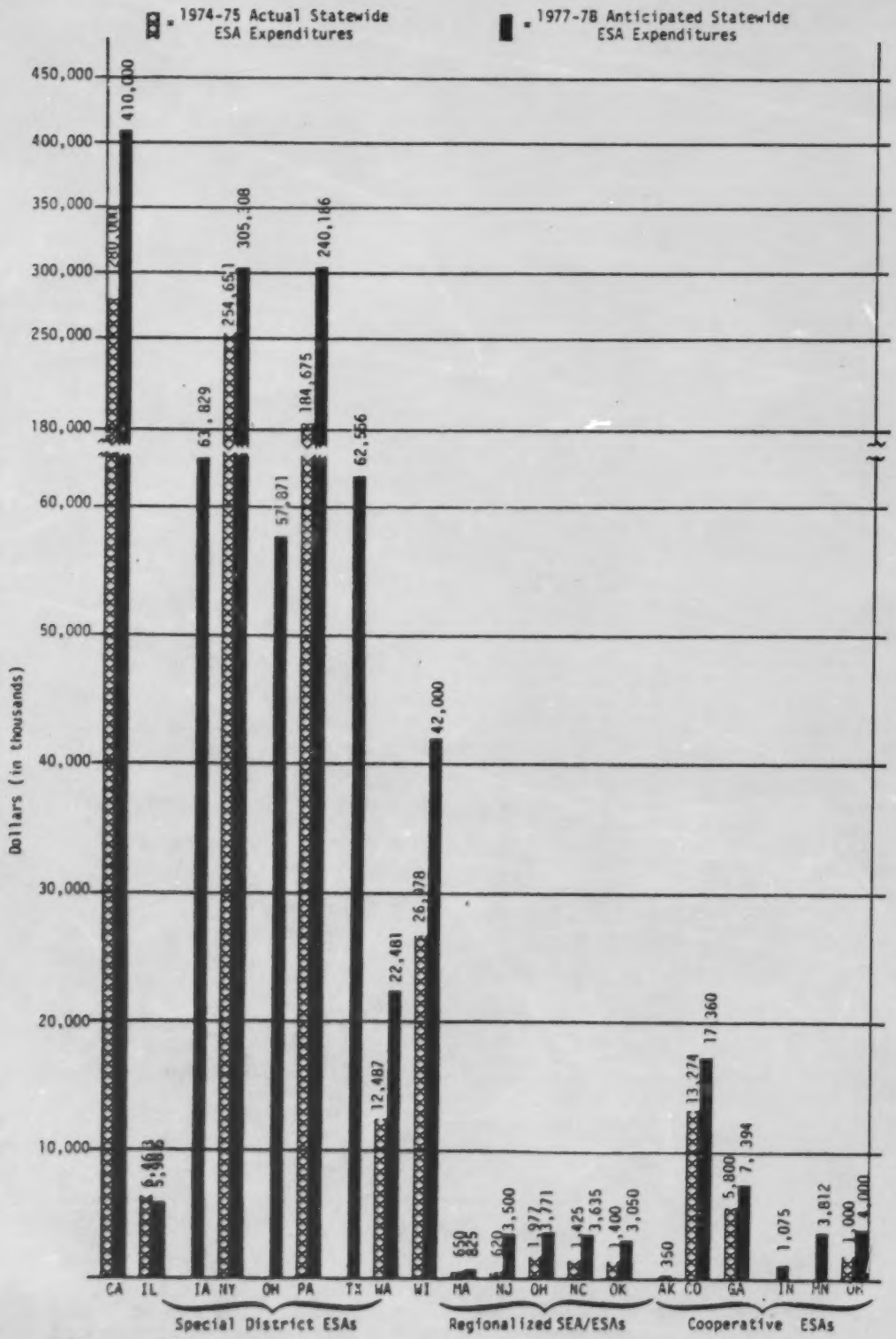


FIGURE 17
MEAN EXPENDITURE OF ESA NETWORKS IN 1977-78

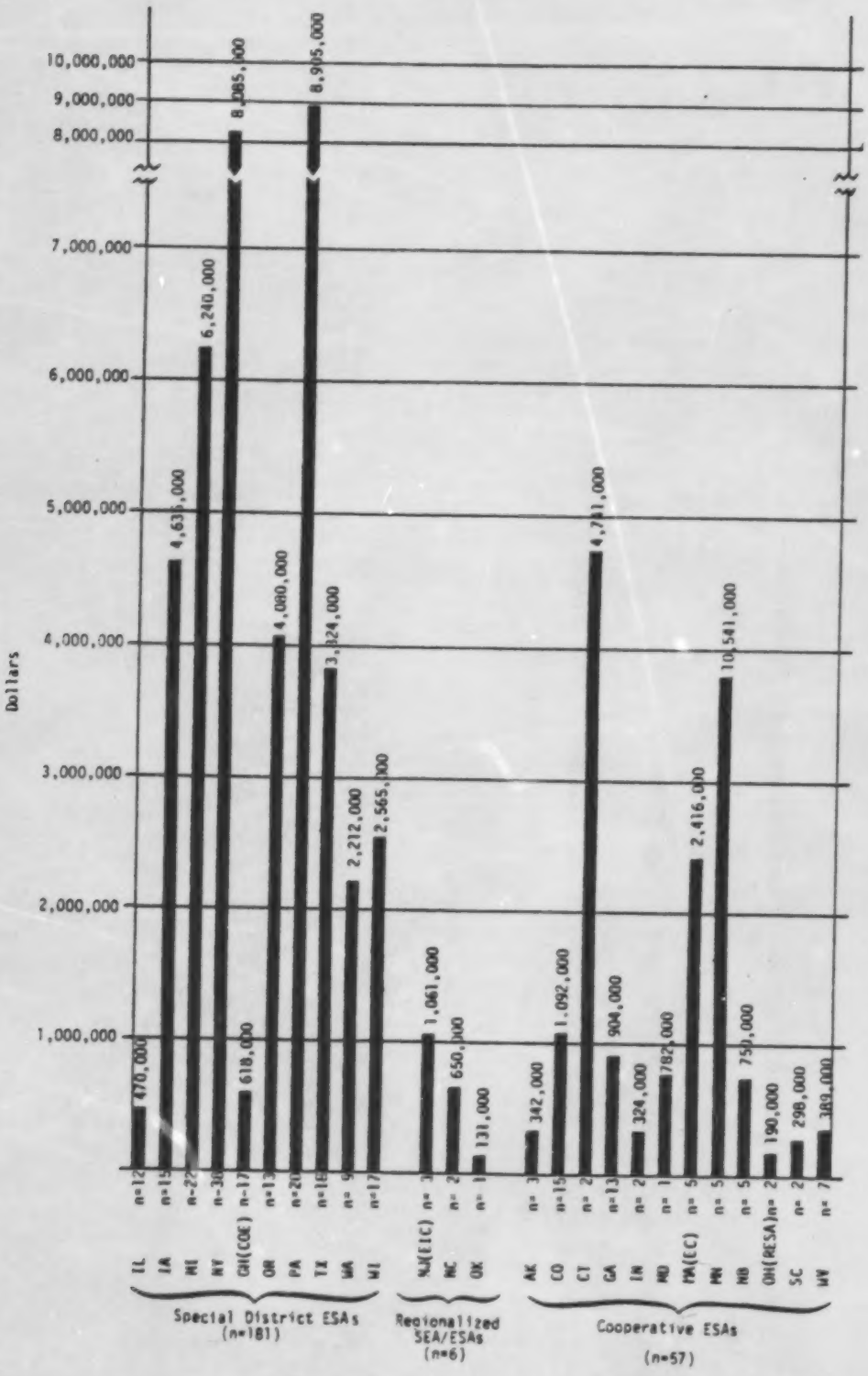


FIGURE 18

TOTAL EXPENDITURES OF ALL ESA NETWORKS FOR TWENTY-SIX PROGRAM AREAS, ANTICIPATED 1977-78 AND ACTUAL 1974-75

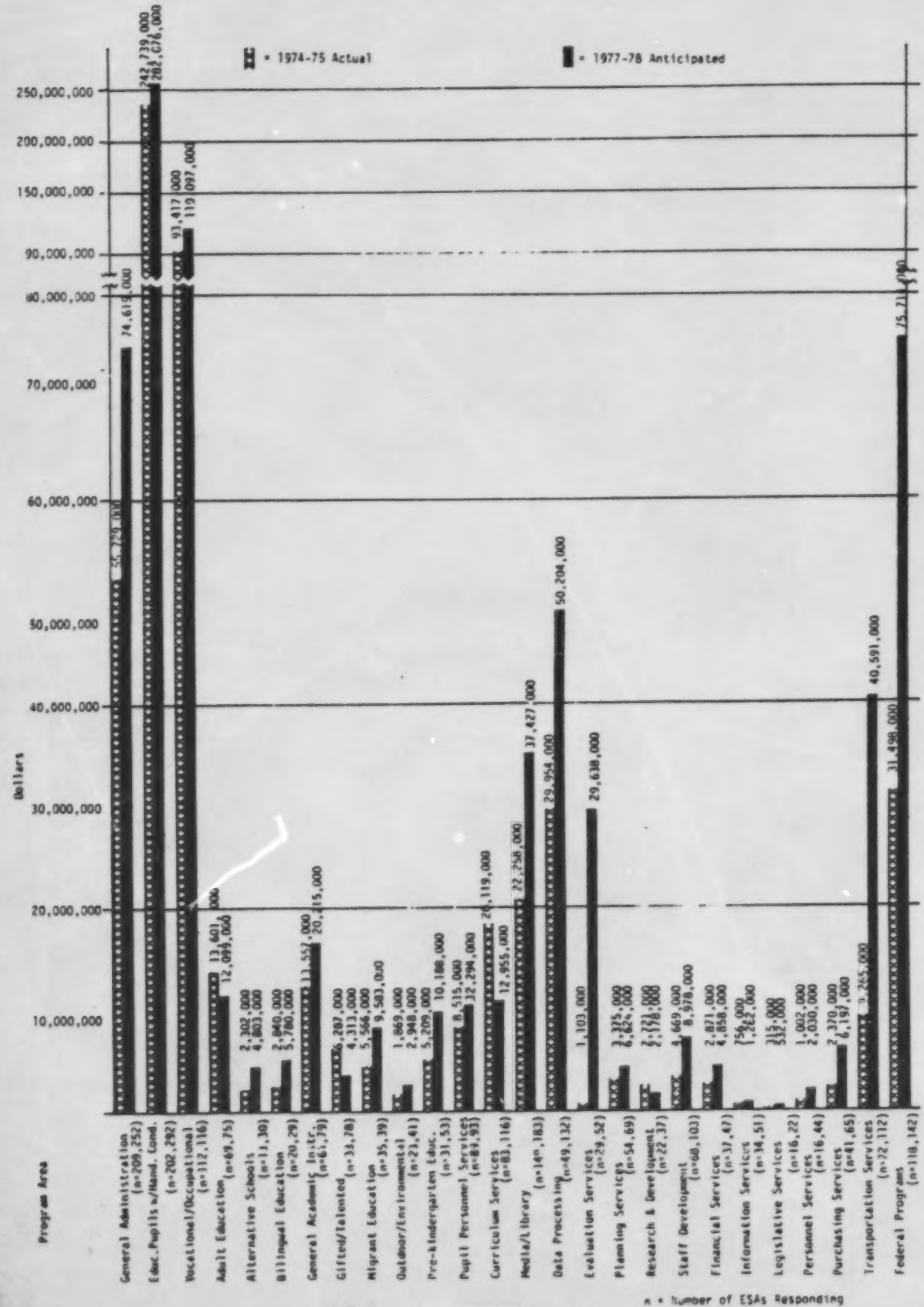


FIGURE 19

TOTAL EXPENDITURES OF SPECIAL DISTRICT ESA NETWORKS FOR TWENTY-SIX PROGRAM AREAS, ANTICIPATED 1977-78 AND ACTUAL 1974-75

FIGURE 20

TOTAL EXPENDITURES OF COOPERATIVE ESA NETWORKS FOR TWENTY-SIX PROGRAM AREAS, ANTICIPATED 1977-78 AND ACTUAL 1974-75

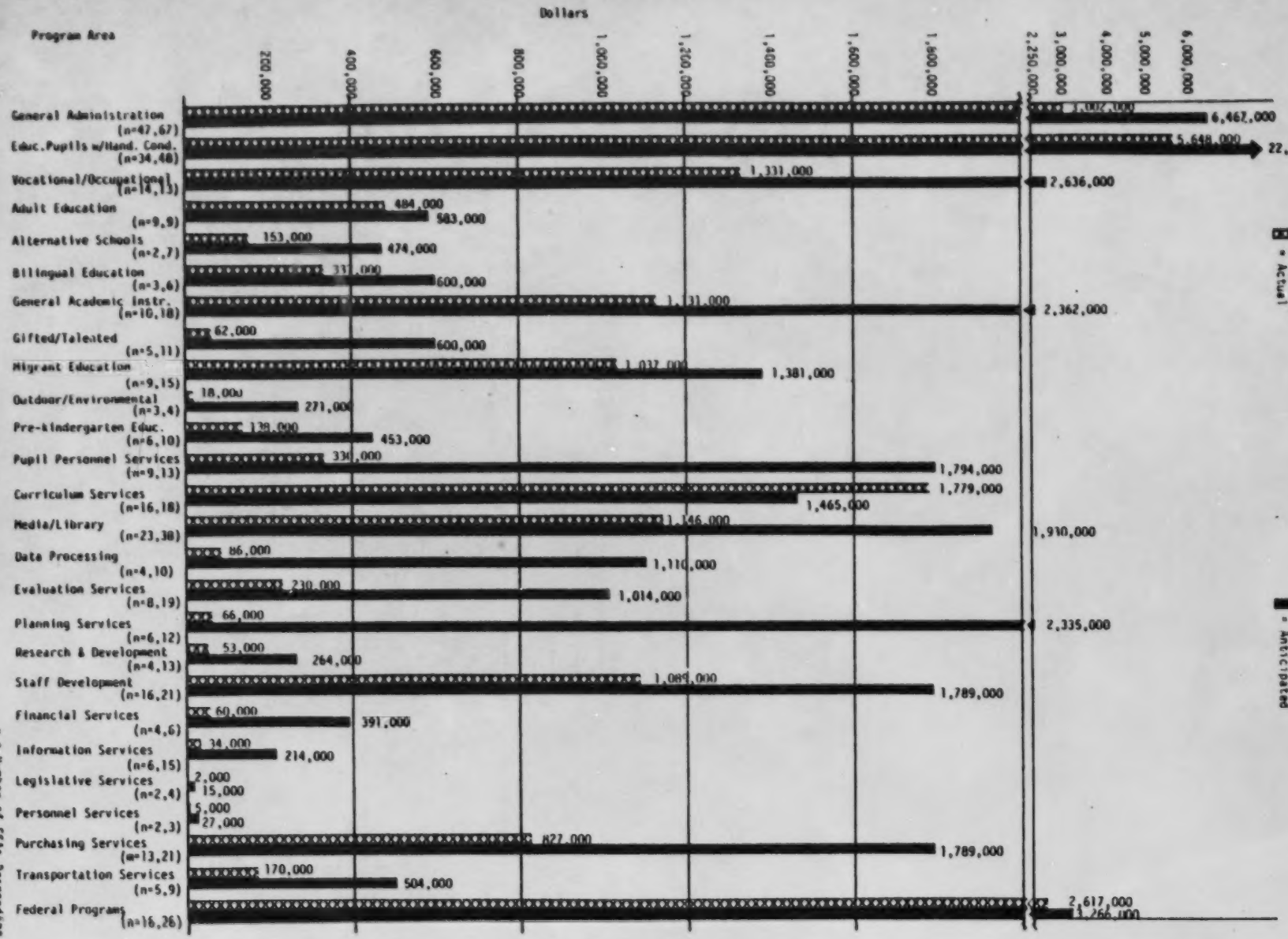


TABLE 21 METHODS USED BY ESA NETWORKS IN ALLOCATING COSTS FOR SERVICES, AND METHODS USED FOR PAYMENT OF SERVICES OFFERED, BY PROGRAM CATEGORY

Program Category	Number of ESAs in State	Number of ESAs Participating in Study	Number of ESAs Responding	Method of Allocating Costs												Method of Payment to ESA									
				Cost Based on Participation					Cost Based on Other Factors																	
				Per Pupil Served	Per Staff Member Served	Percent of Time	Unit Cost	Other	LEA Pupil Population	LEA Wealth	Equal Amount Each LEA	LEA Contract	No Charge	Other		Cash Payment From LEAs	Cash & State Aid Credited to LEA	Full Payment by State	Partial Payment by State	Federal (through SEA)	Federal (direct)	ESA Tax	Payment by Other Government	Payment by Non-Public Agencies	Student Fees	
General ESA Administration	501	314	176	23	4	5	5	12	55	7	4	2	67	7		68	31	34	51	25	14	16	14	8	2
Direct Instruction to LEAs	501	314	-	11	2	-	6	-	10	1	-	1	7	1		11	9	6	10	11	5	3	1	2	3
Education of Pupils w/ Handicapping Conditions	501	314	228	94	3	10	11	7	29	3	6	4	34	9		89	44	40	25	64	10	20	5	1	-
Vocational/Occupational Education	501	314	152	84	2	12	6	6	9		2	4	24	3		55	20	8	45	35	13	12	4	2	2
Adult Education	501	314	86	39	1	3	6	8	3	1	-	-	20	6		7	2	11	17	31	3	2	8	3	48
Bilingual Education	501	314	38	10	3	1	2	6	4	-	-	3	10	1		9	1	9	10	9	7	-	-	-	-
General Academic Education	501	314	75	30	1	13	7	2	4	-	2	1	14	-		25	9	24	10	6	4	1	1	1	4
Gifted & Talented	501	314	119	49	2	5	11	5	7	1	7	3	18	3		31	14	29	17	18	8	1	1	-	2
Migrant Education	501	314	57	16	-	1	2	4	5	-	-	1	24	-		1	2	12	4	32	2	-	-	-	-
Pre-Kindergarten Education	501	314	107	47	-	2	6	5	5	1	1	4	29	1		15	7	9	31	41	14	6	5	-	1
Pupil Personnel	501	314	97	18	2	30	8	5	7	1	-	4	18	4		46	13	16	15	9	3	7	2	-	-
Indirect Instruction to LEAs	501	314	-	9	1	-	3	4	9	1	-	-	9	1		10	9	5	11	12	8	4	2	2	1
Management Services to LEAs	501	314	-	8	1	3	10	4	13	1	2	2	13	1		18	17	8	14	12	10	7	3	3	1
Services for SEA	501	314	-	1	-	-	2	-	3	-	-	-	6	-		1	-	2	8	3	1	2	2	1	1
Services for Other Agencies	501	314	-	3	-	1	6	1	1	1	-	-	5	-		-	2	3	4	1	2	-	3	2	-

TABLE 22 NUMBER OF ESA NETWORKS HAVING STATE MANDATED BUDGET CALENDAR AND CHARACTERISTICS OF ACCOUNTING AND AUDITING PROCESSES

			Accounting Processes				Auditing Processes			
	State Mandated Budget Calendar		ESA Required Accounting Procedures		ESA Accounting and Coding System Same as LEAs		Audits Conducted by State Agency		ESA State Auditing Produres Same as LEAs	
TYPE of ESA and STATE	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
TYPE A: SPECIAL DISTRICT ESA										
1. California	X	-	X	-	X	-	-	X	-	-
2. Illinois	X	-	X	-	-	X	-	X	-	-
3. Iowa	X	-	X	-	X	-	X	-	X	-
4. Michigan	X	-	X	-	X	-	X	-	X	-
5. New York	X	-	X	-	-	X	X	-	-	X
6. Ohio (COE)	X	-	X	-	X	-	X	-	X	-
7. Oregon	-	X	X	-	-	X	-	X	-	-
8. Pennsylvania	X	-	X	-	X	-	X	-	X	-
9. Texas	X	-	X	-	X	-	X	-	X	-
10. Washington	-	X	X	-	-	X	X	-	X	-
11. Wisconsin	-	X	X	-	-	X	-	X	-	-
Total	6	5	11	-	6	5	7	4	6	1
TYPE B: REGIONALIZED SEA/ESA										
1. Massachusetts (REC)	X	-	-	-	-	-	-	X	-	-
2. New Jersey (ERC)	X	-	X	-	X	-	-	X	-	-
3. New Jersey (CSS)	X	-	-	X	-	-	-	X	-	-
4. Ohio (SERRC)	X	-	X	-	X	-	X	-	X	-
5. Ohio (FSAC)	X	-	-	X	-	-	-	-	-	-
6. North Carolina	-	X	-	X	-	-	-	X	-	-
7. Oklahoma	-	X	X	-	X	-	X	-	X	-
Total	5	2	3	3	3	-	2	4	2	-
TYPE C: COOPERATIVE ESA										
1. Alaska	-	X	X	-	X	-	-	X	-	-
2. Colorado	X	-	-	X	-	-	-	X	-	-
3. Connecticut	-	X	X	-	X	-	-	X	-	-
4. Georgia	X	-	X	-	X	-	X	-	X	-
5. Indiana	-	-	-	-	-	-	-	-	-	-
6. Maryland	-	X	X	-	-	-	-	X	-	-
7. Massachusetts (EC)	X	-	X	-	X	-	X	-	X	-
8. Minnesota	-	X	X	-	X	-	-	X	-	-
9. Nebraska	X	-	X	-	-	X	-	X	-	-
10. Ohio (RESA)	X	-	X	-	-	X	X	-	X	-
11. Rhode Island	-	X	X	-	X	-	X	-	X	-
12. South Carolina	-	X	X	-	-	X	-	X	-	X
13. West Virginia	-	X	X	-	-	X	X	-	X	-
Total	5	7	11	1	6	4	5	6	6	2
Total all ESAs	17	12	24	4	14	9	12	14	12	3

CHAPTER SEVEN

SELECTED CHARACTERISTICS OF PROGRAMS AND SERVICES OFFERED BY ESA NETWORKS

I. INTRODUCTION

Some program area emphases change by type of agency and geography, and certain trends are developing, such as the provision of direct services to students. This chapter explores some of these characteristics, including:

1. An overview and ranking of programs and services, authorizations, and those involved in program planning;
2. The number of direct instructional services offered to LEAs in 1977-78, the total of those who participated, and a comparison of the size of the programs with 1974-75;
3. The same information for indirect services;
4. The management services offered by ESAs in 1977-78 and a comparison with 1974-75;
5. The services to SEAs and a comparison with 1974-75;
6. An overview of services offered to nonpublic schools;
7. Services offered other agencies;
8. Jointly offered programs and services, and the agencies participating;
9. Locally developed criteria for allocating functions to ESAs; and,
10. Other characteristics such as legal responsibility for students and withdrawal of LEAs from ESA programs.

II. OVERVIEW OF PROGRAMS AND SERVICES OFFERED BY UNITS IN 1977-78

The ESAs were surveyed about 26 specific programs areas, and, overall, the most frequently offered services in 1977-78 were general administration, education of the handicapped, media and library services and staff development (See Table 23 and Figure 21.) Next in rank were information, planning, evaluation and gifted and talented education services. Reported 2/3 to 1/2 as much as the most frequent services were vocational education, pre-kindergarten education, purchasing services, financial services, federal programs, data processing, and pupil personnel services.

In the special districts, the participating executive officers said that their agencies offered most frequently the education of the handicapped, media and library services and general administration (See Figure 22.) Reported 2/3 as much were financial services, information services, pupil personnel, and planning services. The next most offered group were gifted and talented education, transportation services, evaluation services, pre-kindergarten education, personnel services and adult education.

Virtually all of the 4 responding regionalized networks reported they offered services in the areas of education of the handicapped, gifted and talented education and staff development (See Figure 23.) At least 3/4 of the respondents reported offering general administration, curriculum services, media and library services, evaluation services, general academic instruction, pre-kindergarten services, planning services, research and development and information services.

In the cooperative networks, the programs reported offered most frequently were general administration, staff development and education of the handicapped (See Figure 24.) Reported with 3/4 of the frequency as these were media and library services, curriculum services, and purchasing services.

The most frequently required authorization for programs in the special districts was governing board approval. About 1/4 required advisory committee authorization. No other authority was reported as required by more than a few ESAs, except for adult education and gifted and talented education. Many of the programs needed state legislative or SEA approval except in the areas of purchasing, information services and legislative services. This type authorization was needed by at least 3/4 of the special districts offering programs for the education of the handicapped and adult education.

State legislation and SEA regulations were the most frequently required authorizations for the regionalized networks. If approval was needed from local LEAs, it most frequently was by the chief executive officer.

Executive officers of the cooperative networks reported that ESA governing board approval was the most frequently required authorization for offering programs, with LEA authorization the next most frequent. The exceptions were state level authorizations for general administration, vocational education, migrant education, general academic instruction, bilingual education and gifted and talented education.

Extensive LEA involvement in planning in the special districts was reported. About 3/4 of the units said LEA executive officers were involved in planning in a program area, expecially education of the handicapped, planning services, media and library services, personnel services, staff development and pupil personnel services. About half the units reported involving middle management from LEAs in programs, especially for outdoor and environmental education media and library services, alternative schools, pupil personnel services and research and development. Teachers were involved in program planning in about 1/3 of the ESAs with programs, especially for outdoor and environmental education, media and library services, staff development, alternative schools, curriculum services and gifted and talented education. There was minimal student involvement in program planning. Only 10 per cent of the ESAs reported student involvement; programs mentioned were vocational education, alternative schools, gifted and talented education, outdoor and environmental education, media and library services and federal programs. There also was minimal parent involvement reported, with some major exceptions. Nearly half of the ESAs offering education of the handicapped involved parents, as did 1/3 of those with programs in the areas of migrant education, pre-kindergarten education and gifted and talented education. The officers reported SEA involvement in program planning in about 1/3 of the ESAs offering programs, with the highest proportions in programs for pre-kindergarten education, bilingual education, migrant education, education of the handicapped and outdoor and environmental education.

In the regionalized systems, about 90 per cent or more of the units offering programs involved LEA executive officers in the planning. Also at high levels of involvement were LEA middle management, teachers, students, governing boards and parents.

In the cooperative networks, the most frequently reported local involvement was by LEA executive officers, who participated in 1/2 to 2/3 of the ESAs with programs. More than 3/4 of the units reported this involvement in programs for education of the handicapped, financial services, planning services, staff development, research and development, evaluation services and data processing. One-fourth to 1/3 of the cooperative units with programs reported LEA governing board involvement in planning, especially for education of the handicapped. SEA involvement in planning was reported for education of the handicapped, outdoor and environmental education, general academic instruction and federal programs.

III. DIRECT INSTRUCTIONAL SERVICES OFFERED TO PUBLIC LEAS IN 1977-78 AND CHANGES SINCE 1974-75

The 10 highest direct instructional services in 1977-78 ranked by the number of public LEAs receiving the services, were:

1. Education for the physically handicapped (severe speech and language)
2. Vocational and occupational education (trade)
3. Education for mentally handicapped (trainable)
4. Education for physically handicapped (homebound)
5. Vocational and occupational education (health related)
6. Pupil personnel services (psychiatric)
7. Vocational and occupational education (business office)
8. Vocational and occupational education (agriculture)
9. Vocational and occupational education (technical)
10. Educational for mentally handicapped (emotionally severe)

Different priorities appear when ranking programs that serve only elementary pupils:

1. Pupil personnel services (psychiatric)
2. Pupil personnel services (specified others)
3. Federal programs
4. Pupil personnel services (career education)
5. Education for physically handicapped (severe speech and language)
6. Pupil education services (psychological)
7. Pupil personnel services (social work)
8. Outdoor and environmental education
9. Data processing (computer assisted instruction)
10. Education for physically handicapped (learning disabled)

Priorities again change when looking at the number of secondary students receiving services. Ranked in order were:

1. Pupil personnel services (psychiatric)
2. Data processing (computer assisted instruction)

3. Pupil personnel services (specified others)
4. Pupil personnel services (career education)
5. Federal programs
6. Pupil personnel services (guidance and counseling)
7. Vocational and occupational education (trade)
8. General academic instruction
9. Education of physically handicapped (orthopedically)
10. Pupil personnel services (dental)

According to the number of adults receiving services, the 10 highest ranked direct instructional services were:

1. Adult education
2. Federal programs
3. Vocational and occupational education (trade)
4. Pupil personnel services (career education)
5. Vocational and occupational education (specified others)
6. Pupil personnel services (psychiatric)
7. Pupil personnel services (specified others)
8. Outdoor and environmental education
9. Pupil personnel services (social work)
10. Vocational and occupational education (business office)

Most ESA executive officers reported substantial increases in the size of the direct service programs in 1977-78 compared to 1974-75. Decreases were infrequent. Those decreased by 10 per cent or more included drug, alcohol, tobacco and medical areas; general academic instruction; migrant education; outdoor and environmental education; education of the severely emotionally handicapped and the multiply-physically handicapped, and vocational and occupation education (distributive and technical.)

Although education of the physically handicapped (severe speech and language) ranked highest in the number of LEAs receiving services from special district networks, vocational occupation dominated the list of the highest 10 services. More than half of the top 10 were vocational programs. These included trade (2), health related (4), business office (5), agriculture (7), technical (8) and home economics (9). Others in the top 10 were education for the physically handicapped homebound (3), education for the mentally handicapped trainable (5), and pupil personnel services -- psychological (10). The rankings for the number of elementary students served were: (See Figure 25.)

1. Pupil personnel services (psychological)
2. Pupil personnel services (specified others)
3. Federal programs
4. Pupil personnel services (career education)
5. Education for physically handicapped (severe speech and language)
6. Pupil personnel services (social work)
7. Outdoor and environmental education
8. Data processing (computer assisted instruction)
9. Data processing (computer assisted instruction)
10. Education for physically handicapped (learning disabled)

The rankings for number of secondary students were:

1. Data processing (computer assisted instruction)
2. Pupil personnel services (psychological)
3. Pupil personnel services (career education)
4. Federal programs
5. Pupil personnel services (specified others)
6. Education for physically handicapped (orthopedically)
7. Pupil personnel services (guidance and counseling)
8. Vocational and occupational education (trade)
9. General academic instruction
10. Education for physically handicapped (severe speech and language)

The rankings for kindergarten children receiving services were:

1. Pupil personnel services (psychological)
2. Pupil personnel services (specified others)
3. Education of physically handicapped (severe speech and language)
4. Pupil personnel services (social work)
5. Federal programs
6. Migrant education
7. Pupil personnel services (medical)
8. Education for mentally handicapped (educable)
9. Pupil personnel services (dental)
10. Educational for mentally handicapped (trainable)

The rankings for the number of adults receiving services were:

1. Adult education
2. Vocational and occupational education (trade)
3. Federal programs
4. Pupil personnel services (psychological)
5. Pupil personnel services (specified others)
6. Outdoor and environmental education
7. Pupil personnel services (career education)
8. Vocational and occupational education (business office)
9. Vocational and occupational education (specified others)
10. Vocational and occupational education (health related)

The executive officers whose units offered direct instructional services reported substantial increases in these services over 1974-75. At least 90 per cent reported increases in programs for the gifted and talented, pupil personnel services in occupational therapy and specified other areas and education for the handicapped. Decreases were reported infrequently. Programs that decreased 10 per cent or more included general academic instruction, migrant education, environmental education, pupil personnel services in dental care and drugs, alcohol and tobacco areas; education of severely emotionally handicapped and multiply physically handicapped, and vocational and occupational education (distributive and technical.)

Virtually none of the responding executive officers reported on recipients of direct instructional services from regionalized networks.

The rankings overall in cooperative units showed that although specified help in pupil personnel services ranked highest, more than half of the top 10 services were related to education of the handicapped (See Figure 27 .). The other rankings were pupil personnel services (psychiatric) (2), education for physically handicapped (severe speech and language) (3), handicapped (5), education for multiply physically handicapped (6), federal programs (7), education for educable mentally handicapped (8), education for profoundly mentally handicapped (10).

The 10 highest ranked direct instructional services according to the number of elementary students served were:

1. Pupil personnel services (physical therapy)
2. Pupil personnel services (specified others)
3. Pupil personnel services (psychological)
4. Federal programs
5. Bilingual education
6. Pupil personnel services (social work)
7. Pupil personnel services (nursing)
8. Pupil personnel services (career education)
9. Outdoor and environmental education
10. Education for physically handicapped (severe speech and language)

The rankings, according to number of secondary students served, were:

1. Pupil personnel services
2. Federal programs
3. Adult education
4. Education for physically handicapped (others)
5. Education for physically handicapped (multiply handicapped)
6. Pupil personnel services (psychiatric)
7. Education for emotionally handicapped (severe)
8. Pupil personnel services (social work)
9. Education for physically handicapped (severe speech and language)
10. Pupil personnel services (physical therapy)

According to the number of adults served, the highest ranking programs were:

1. Adult education
2. Pupil personnel services (career education)
3. Pupil personnel services (specified others)
4. Vocational and occupational education (specified others)
5. Federal programs
6. Vocational and occupational education (health related)
7. Outdoor and environmental education
8. Educational of emotionally handicapped (moderate)
9. Gifted and talented education
10. Pupil personnel services (medical)

Almost all executive officers reported changes since 1974-75, but increases in numbers were small. There were few decreases, but those reported decreased 10 per cent or more included social work, education of the orthopedically physically handicapped, brain injured, multiply handicapped and homebound.

IV. INDIRECT INSTRUCTIONAL SERVICES OFFERED BY ESA UNITS TO PUBLIC LEAS IN 1977-78 AND CHANGES SINCE 1974-75

Media and library services (film library) ranked first among the 23 specific indirect instructional services included in the survey, according to the number of public LEAs receiving the services (See Table 24 and Figure 28.) Others were:

2. Professional staff development
3. Media and library services (other instructional materials)
4. Media and library services (curriculum library services)
5. Pupil diagnosis/prescription (learning disabled)
6. Pupil diagnosis/prescription (retardation)

Consultants and specialists were the personnel most frequently using certain indirect services -- curriculum services, data processing, computer assisted guidance and each of the 5 categories of pupil diagnosis services. However, administrators, supervisors and teachers were reported to use these services almost as frequently. Administrators and supervisors were the most frequent users of media-audio-visual equipment repair services, research and development and professional staff development services (consultants and specialists and teachers used them almost as frequently.) Teachers were the most frequent users of almost all categories of media services and data processing (testing, scoring and analysis.)

Increases in programs, and additions of new programs between 1974-75 and 1977-78, were reported by 60 per cent to 80 per cent of the ESAs offering indirect services. A few reported decreases, but only one -- TV tape production -- was reported by more than 10 per cent of the ESAs.

The 6 highest ranking indirect services offered to public LEAs by special district networks, according to the number of LEAs served, were:

1. Media and library services (film library)
2. Media and library services (other instructional materials)
3. Media and library services (curriculum library services)
4. Professional staff development
5. Pupil diagnosis/prescription (learning disabled)
6. Pupil diagnosis/prescription (retardation)

Consultants and specialists most frequently used curriculum services, data processing-computer assistance guidance services, media production center services and 4 categories of public diagnosis services (these were almost equally popular with administrators and supervisors and teachers.) Administrators and supervisors were the most frequent users of audio-visual equipment repair services, evaluation services, federal programs, planning services, research and development, professional staff development and pupil diagnosis/physically handicapped services. Data processing services were used most frequently by teachers.

Most ESA executive officers reported expansion of, or additions to, indirect services between 1974-75 and 1977-78. Increases were reported well over 1/2 of the ESAs offering indirect services.

The 6 highest ranking indirect services provided to LEAs, by number receiving them, reported by regionalized networks were: (See Figure 30)

1. Professional staff development
2. Planning services
3. Media and library services (curriculum library)
4. Media and library services (other instructional materials)
5. Evaluation services
6. Research and development

All indirect services were used about the same by administrators and supervisors, consultants and specialists and teachers. Most officers of units offering the services reported increases or additions in every category of indirect services between 1974-75 and 1977-78.

The rankings of indirect services in cooperative units, according to the number of LEAs receiving them, were:

1. Pupil diagnosis/prescription (learning disabled)
2. Pupil diagnosis/prescription (retardation)
3. Professional staff development
4. Pupil diagnosis/prescription (emotionally disturbed)
5. Pupil diagnosis/prescription (physically handicapped)
6. Media and library services (film library)

Consultants and specialists most frequently used curriculum services, evaluation services, professional staff development and all categories of pupil diagnosis/prescription services. Administrators and supervisors were the most frequent users of audio-visual repair. Teachers, consultants and specialists, and administrators and supervisors equally used most categories of media services and data processing (computer assisted guidance.)

Well over 1/2 of the ESAs with an indirect service reported an increase in programs between 1974-75 and 1977-78, and most officers reported additional programs.

V. MANAGEMENT SERVICES OFFERED BY ESA UNITS TO PUBLIC LEAS IN 1977-78 AND CHANGES SINCE 1974-75

Of the 38 specific management services provided by ESAs to LEAs, these ranked highest by number of ESAs offering them were: (See Table 26.)

1. Staff development for administrators
2. Data processing of financial reports
3. Pupil personnel services on attendance
4. Purchasing
5. Staff development of supervisors
6. Data processing services for payroll checks
7. Certification
8. Information services

At least 2/3 of the executive officers reported that programs had increased or been added since 1974-75. The exceptions were busing, facilities and certification. At least 90 per cent of the officers reported an increase in services for federal program coordination, staff development for supervisors

and maintenance aspects of transportation. Decreases were very infrequent.

Data processing services of various types dominated the ranking of special district network management services to public LEAs. The ranking was:

1. Staff development (administrators)
2. Pupil personnel services (attendance)
3. Data processing services (financial reports)
4. Data processing services (payroll checks)
5. Pupil personnel services (grade reporting)
6. Certification
7. Data processing services (preparation of reports)
8. Data processing services (encumberance accounting)

At least 2/3 of the responding officers reported that programs had been expanded or added to since 1974-75. The exceptions were information services, transportation licensing, busing and schedules, purchasing, financial services (budget) and certification. Decreases were reported infrequently with only 2 services (recruitment and busing) reported by at least 10 per cent of the officers.

Various aspects of staff development were the most frequent services given to public LEAs by the regionalized networks. Out of 38 specific management services, the 7 top-ranked ones were:

1. Staff development (administrators)
2. Staff development (supervisors)
3. Information services
4. Staff development (board members)
5. Evaluation services
6. Planning services
7. Staff development (classified)

Virtually every regionalized network officer reported that management services had increased in size and/or had been added since 1974-75.

No one management service dominated those offered to public LEAs by the cooperative networks in 1977-78. Of the 38 services surveyed, the 8 highest ranking ones were:

1. Purchasing
2. Staff development (administrators)
3. Planning services
4. Federal program coordination
5. Staff development (supervisors)
6. Research and development
7. Evaluation services
8. Media and library services

Most executive officers reported that management programs had increased in size, or new ones added, since 1974-75.

VI. SERVICES TO THE SEA OFFERED BY ESAS IN 1977-78 AND CHANGES SINCE 1974-75

Providing data on school districts to the SEA was the management service most frequently appearing on the list of highest ranking services for all ESAs. Of the 31 specific services in the survey, the 8 at the top overall were: (See Table 27.)

1. Personnel services (certification)
2. School district data (financial)
3. School district data (personnel)
4. Information services
5. Direct instructional services (high school equivalency)
6. School district data (demographic)
7. School district data (organization)
8. Federal programs coordination

Nearly all executive officers reported that services to SEAs had expanded, or been added to, since 1974-75 (2/3.) The exceptions were personnel services (recruitment, certification) and transportation (busing.) At least 90 per cent reported increases or additional services in the areas of data processing, media and library services, federal program coordination, planning services and financial services on federal programs. In none of the 31 areas did as many as 10 per cent of the executive officers report a decrease in services.

More than half of the highest ranking services provided SEAs by special district networks involved school district data. The rankings were:

1. Personnel services (certification)
2. School district data (financial)
3. School district data (personnel)
4. Direct instructional services (high school equivalency)
5. School district data (organizational)
6. Financial services (payments to LEAs)
7. School district data (demographic)
8. School district data (instructional programs)

Two-thirds of the executive officers reported an increase in program size or new programs for nearly all of the listed services to SEAs. At least 90 per cent of the respondents reported such growth for federal program coordination, data processing services (school district data,) instructional programs, personnel services (negotiations and financial services) and federal programs. In none of the 31 specific services did as many as 10 per cent of the officers report a decrease in service.

At least 10 per cent of the officers of the regionalized networks reported 3 services provided to SEAs:

1. Information services
2. Federal program coordination
3. Staff development

Virtually every officer responding to the survey reported an increase in programs, or additions to them, since 1974-75, with 3 categories of personnel services the only area where decreases were reported to have occurred.

As the cooperative networks, no service was reported by at least 10 per cent of the responding executive officers. At least 1 unit each in Colorado, Georgia, Indiana, Maryland, Massachusetts, Minnesota and West Virginia reported services to the SEA. Most of them reported increases compared to 1974-75.

VII. SERVICES OFFERED NONPUBLIC SCHOOLS IN 1977-78

Of the 24 specific services provided by ESAs to nonpublic schools, the 6 highest ranking ones were: (See Table 28 and Figure 32.)

1. Media and library services
2. Education of the handicapped
3. Staff development
4. Federal programs
5. Curriculum services
6. Vocational and occupational education

In the special district networks, the rankings were the same overall, except that federal programs and staff development switched their order (See Figure 33.) As for the funding of services to nonpublic schools, media and library services were most frequently reported as funded from nonpublic sources. State funding dominated for education of the handicapped (followed closely by federal funding), curriculum services, gifted and talented education, pupil personnel services, textbook supply, planning services, research and development, transportation services and information services. Federal funding was most frequently reported for bilingual education and pre-kindergarten education. State and federal funding were reported equally for migrant education and school lunch programs.

In the regionalized networks, the ranking of services to nonpublic schools according to the number of ESAs offering the services was headed by these 7 areas: (See Figure 34.)

1. Evaluation services
2. Curriculum services
3. Education of the handicapped
4. Media and library services
5. Staff development
6. Information services
7. Federal programs

The state was the most frequently cited source of funding for evaluation services and staff development. State and federal sources were reported with similar frequency for education of the handicapped, media and library services, and curriculum services and information services. State funding dominated for planning services, research and development, purchasing and transportation. State and federal funding were reported with the same frequency for vocational and occupational education, alternative schools, bilingual education, general academic instruction, pupil personnel services, school lunch program, and personnel services.

In the cooperative networks, of the 24 specific services provided by ESAs to nonpublic schools, the 6 highest ranking ones were: (See Figure 35)

1. Media and library services
2. Staff development
3. Curriculum services
4. Education of the handicapped
5. Purchasing services
6. Federal programs

Nonpublic LEA sources were most frequently mentioned as funding for media and library services, staff development, curriculum services, and purchasing services. Federal, state and public LEA sources were cited equally as funding for education of the handicapped. Nonpublic LEA funding was the most frequent method of payment for environmental education and personnel services. Public LEA funding was the most frequent source for payment for migrant education. Public and nonpublic LEA funding were equally reported as funding sources for vocational and occupational education, bilingual education and general academic instruction. State and nonpublic LEA sources were reported with similar frequency for funding of research and development and data processing.

VIII. SERVICES OFFERED AGENCIES OTHER THAN LEAS AND THE SEA IN 1977-78 AND CHANGES SINCE 1974-75

Overall, of the 37 specific services provided by agencies other than SEAs and LEAs by the education service agencies, the 8 highest ranking ones, according to the number of ESAs offering them, were: (See Table 29)

1. Indirect instruction (media and library services)
2. Direct instruction (adult education, high school equivalency)
3. Direct instruction (adult education -- job-entry training)
4. Direct instruction (adult education -- basic)
5. Direct instruction (adult education -- job updating)
6. Management services (use of ESA facilities)
7. Direct instruction (adult education -- career planning)
8. Management services (information services)

In the special district networks, direct instruction in adult education dominated the 9 specific services offered to other agencies. The ranking was:

1. Direct instruction (adult education -- high school equivalency)
2. Direct instruction (adult education -- job-entry training)
3. Indirect instruction (media and library services)
4. Direct instruction (adult education -- basic)
5. Direct instruction (adult education -- job updating)
6. Management services (use of ESA facilities)
7. Direct instruction (adult education -- career planning)
8. Direct instruction (adult education -- counseling and testing)
9. Management services (information services)

Of the 37 specific services offered other agencies by the regionalized networks, the highest ranking ones, reported by at least 10 per cent of the executive officers, were:

1. Management services (information services)
2. Indirect instruction (curriculum planning)
3. Indirect instruction (staff development training of instructors)

In the cooperative networks, the only service to other agencies reported by at least 10 per cent of the executive officers was media and library services.

IX. JOINTLY OFFERED PROGRAMS AND SERVICES

About half of the special district networks which responded reported joint programs with other agencies, especially those in Iowa, Michigan and Oregon (See Table 30.) Most frequently programs were offered with another ESA (2/3.) One-half offered joint programs with a post-secondary institution, and over 1/3 offered programs with another public agency, an LEA and with the SEA. Less frequent were joint programs with nonpublic schools or agencies.

In the regionalized networks, about half of the officers in 3 of the 4 participating networks reported joint programs. Most of these were with a post-secondary institution.

About 1/3 of the officers of cooperative networks reported joint programs with other agencies. Nearly half of these were with post-secondary institutions, an LEA, another ESA, the SEA or another public agency. Only Colorado had joint programs with nonpublic schools or agencies.

X. LOCALLY DEVELOPED CRITERIA FOR ALLOCATING FUNCTIONS TO ESAs

Few executive officers of any of the 3 types of ESAs reported the use of locally devleoped written criteria for allocating functions to the ESA. This was reported by at least 10 per cent of the ESAs in New York, Oregon and Pennsylvania, and about 1/3 of the participating units in Texas and Washington. Virtually none were reported from the regionalized networks, or from the cooperative networks.

XI. OTHER PROGRAMMING CHARACTERISTICS

Two other characteristics were explored in the descriptive study:

Legal responsibility for students enrolled in ESA programs - Less than 10 per cent of the special district units participating in the study reported that the ESA has final legal responsibility for students receiving direct services. The only states where it was significant were Michigan, Ohio and Pennsylvania, where at least 1/4 have legal responsibility. None of the regionalized networks that reported on this item had final legal responsibility. In the cooperative networks, most of the officers reported that the ESA does not have final legal responsibility for students receiving instructional services.

Conditions for late withdrawal by LEAs in ESA programs - In the special district units, about 1/2 of the responding officers reported the LEA was obligated to pay for late withdrawal from a service. Most officers reported this requirement in Michigan, New York, Washington and Wisconsin. This was required by legislation or SEA regulations in New York. Virtually all of the regionalized networks of the 4 in the survey reported that LEAs are not obligated to pay when a service is requested, and then later the

request is withdrawn. In the cooperative units, at least 2/3 of the executive officers responding reported requirements in Colorado, Alaska, Indiana and Maryland for the LEA to pay for withdrawal. ESA by-laws usually established authority for this practice.

XII. SUMMARY OF MAJOR FINDINGS

Overall

1. Twelve of the 26 program areas in this survey were reportedly offered by a majority of the 314 participating units. These were in descending order: general administration, education of the handicapped, media and library services, staff development, curriculum services, information services, planning services, gifted and talented education, vocational and occupational education, pre-kindergarten education and purchasing services.

2. In the special district networks, 4 additional program areas were reportedly offered by a majority of the 208 participating units: data processing, financial services, pupil personnel and federal program services.

3. In the regionalized networks, 3 additional program areas were reported offered by a majority of the 36 units: general academic instruction, research and development and financial services.

Authorization and participation in planning:

4. ESA governing board authorization was most frequently reported as required for the units to offer programs in all areas. Of 24 areas, governing board authorization was required by at least 2/3 of the ESAs offering services in those areas. ESA advisory committee authorization was needed by 10 to 25 per cent of the ESAs with programs in those areas, and state-level or SEA authorization was needed by 40 to 70 per cent of the ESAs offering the services. From 30 to 60 per cent of the ESAs offering services in all program areas needed the approval of the LEA board or executive officer. LEA executive officer participation in ESA program planning was reported for 65 to 80 per cent of the ESAs. Other participation rates in program planning: Teachers (15 to 30 per cent); LEA governing boards (15 to 25 per cent); SEA participation (15 to 30 per cent.)

Direct instructional services:

5. The 10 direct instructional services with the largest numbers of LEAs receiving services in descending order were: education of the handicapped (severe speech and language), vocational and occupational education (trade), education of the mentally handicapped (trainable), education of the physically handicapped (home bound), vocational and occupational education (health related), pupil personnel services (psychiatric), vocational and occupational education (business office), vocational and occupational education (agriculture), vocational and occupational education (technical), and education of the mentally handicapped (emotionally severe.)

6. The 10 direct instructional services with the largest numbers of elementary students receiving services were, in descending order: pupil personnel services (psychiatric -- 159,851), pupil personnel services (specified others), federal programs, pupil personnel services (career education), education of the physically handicapped (severe speech and language), pupil personnel services (psychological), pupil personnel services (social work), outdoor and environmental education, data processing (computer assisted instruction), and education for physically handicapped (learning disabled -- 17,045.)

7. The 10 direct instructional services with the largest number of secondary students receiving services were: pupil personnel services (psychiatric -- 103,039), data processing (computer assisted instruction), pupil personnel services (specified others), pupil personnel services (career education), federal programs, pupil personnel services (guidance and counseling), vocational and occupational education (trade), general academic instruction, education of physically handicapped (orthopedically) and pupil personnel services (social work -- 17,921.)

8. The 10 direct instructional services with the largest numbers of pre-kindergarten students receiving services were: pupil personnel services (career education -- 50,000), pupil personnel services (psychiatric), federal programs, pupil personnel services (specified others), education of the physically handicapped (severe speech and language), pupil personnel services (social work), migrant education, pupil personnel services (medical), education of the mentally handicapped (educable), and pupil personnel services (dental.)

9. The 10 direct instructional services with the largest numbers of adults receiving services were: adult education (110,929), federal programs, vocational and occupational education (trade), pupil personnel services (career education), vocational and occupation education (specified others), pupil personnel services (psychiatric), pupil personnel services (specified others), outdoor and environmental education, pupil personnel services (social work) and vocational and occupational education (business office -- 1,541.)

10. The executive officers reported substantial increases in the size of the programs offered by their ESAs in 1977-78 compared to 1974-75. Few decreases were noted.

Indirect instructional services:

11. The 6 indirect instructional services with the largest number of LEAs receiving services were: media and library services (film library -- 4,932), professional staff development, media and library services, pupil diagnosis (learning disabled), and pupil diagnosis (retardation -- 3,861.) From 60 to 80 per cent of the LEAs offering services reported increases in the programs compared to 1974-75.

Management services:

12. The 8 specific management services offered by the largest number of ESAs were: staff development (administrators -- 147), data processing (financial reports), pupil personnel services (attendance), purchasing,

staff development (supervisors), data processing (payroll checks), certification and information services (96). In 60 to 80 per cent of the ESAs offering the services, there had been an increase, or additions to, services since 1974-75. Programs areas expanding the most rapidly were federal program coordination, staff development (supervisors), and transportation (maintenance.) Expanding more slowly were transportation (busing), facilities and certification. Few decreases were noted.

Services to state education agencies:

13. The 8 services to state education agencies offered by the largest number of ESAs were: personnel services (certification -- 47), school district data (financial), school district data (personnel), information services, direct instructional services (high school equivalency), school district data (demographic), school district data (organizational), and federal program coordination (34). Sixty to 80 per cent of the ESAs reported increases in programs and/or additions to them, compared to 1974-75. Programs expanding more rapidly were data processing, media and library services, federal program coordination, planning services and financial services on federal programs.

Services to nonpublic schools and agencies:

14. The 6 services to nonpublic schools offered by the largest number of ESAs were media and library services (136), education of the handicapped, staff development, federal programs, curriculum services and vocational and occupational education (58).

Services to agencies other than LEAs and SEAs:

15. The 8 services to agencies other than LEAs and SEAs offered by the largest number of ESAs were indirect instruction (media and library services -- 41), direct instruction (adult education, high school equivalency), direct instruction (job-entry training), direct instruction (adult education, basic), direct instruction (adult education, job updating), management services (use of ESA facilities), direct instruction (adult education, career planning), and management services (information services -- 25).

Joint programs:

16. About 1/2 of the executive officers indicated their units offered programs jointly with another agency in 1977-78. This was most prevalent in the special district networks, both in frequency of use and in the per cent of agencies participating in joint programs. The practice was least extensive in regionalized networks. The variety of other agencies was broad and included in order of frequency, another ESA, post-secondary institution, and another public agency.

Legal responsibilities:

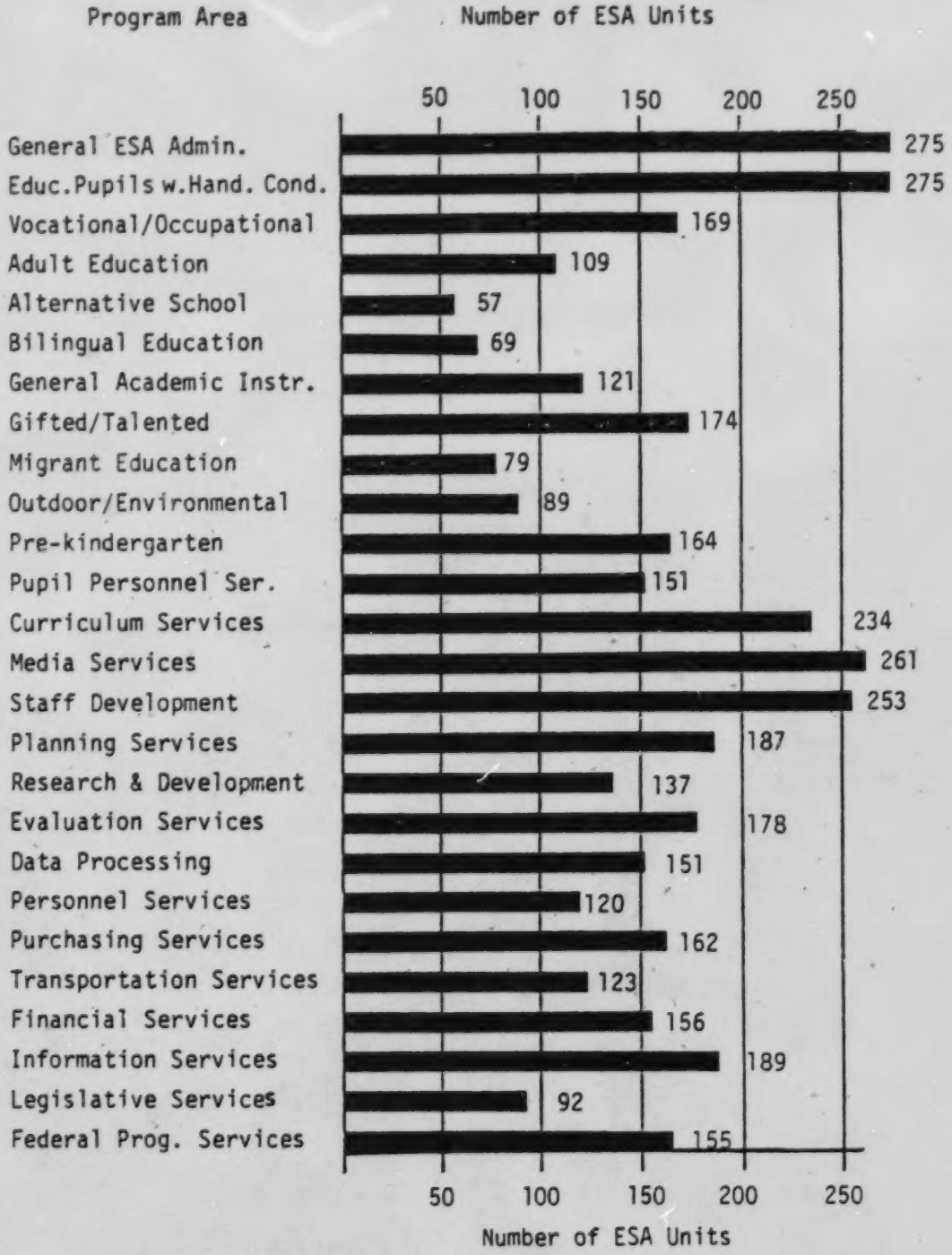
17. Only 20 executive officers in 8 different networks indicated their ESAs had legal responsibility for school-age students receiving all of their direct instructional services from the ESA. Legal responsibility usually stays with the LEA where the student holds residency.

TABLE 23 RANKING OF 26 PROGRAM AREAS OFFERED BY ESA NETWORKS IN 1977-78, BY NUMBER OF UNITS OFFERING PROGRAMS

Program Area	Ranking by Number of ESAs Offering Program Area			
	ALL ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
General ESA Administration	1	3	4	1
Education of Pupils with Handicapping Conditions	1	1	1	3
Vocational/Occupational Education	10	6	14	14
Adult Education	21	19	21	20
Alternative Schools	26	26	16	19
Bilingual Education	25	24	20	23
General Academic Instruction	19	22	8	16
Gifted/Talented Education	9	14	2	13
Migrant Education	24	25	15	15
Outdoor/Environmental Education	23	23	22	22
Pre-Kindergarten Education	11	17	9	12
Pupil Personnel Services	15	10	17	16
Curriculum Services	5	5	4	5
Media and Library Services	3	2	6	4
Staff Development	4	4	2	2
Planning Services	7	11	9	8
Research and Development	17	21	9	10
Evaluation Services	8	16	7	7
Data Processing Services	15	6	23	18
Personnel Services	20	18	17	26
Purchasing Services	12	12	26	6
Transportation Services	18	15	23	24
Financial Services	13	8	13	24
Information Services	6	9	9	7
Legislative Services	22	20	25	20
Federal Programs	14	13	17	11

FIGURE 21

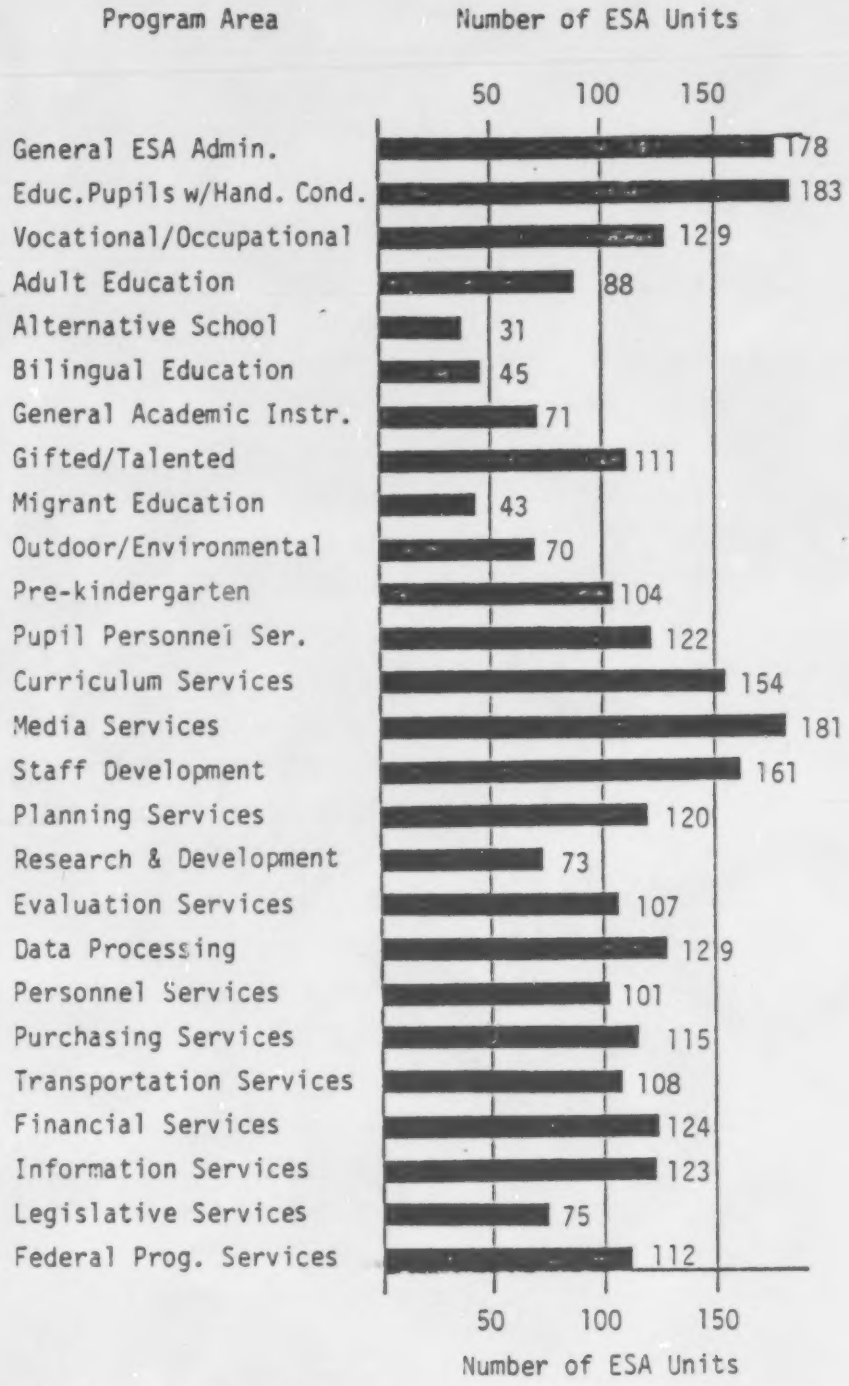
NUMBER OF ESA UNITS OF ALL TYPES OFFERING SERVICES
IN
TWENTY-SIX PROGRAM AREAS IN 1977-78



n=314 ESA Units of All Types

FIGURE 22

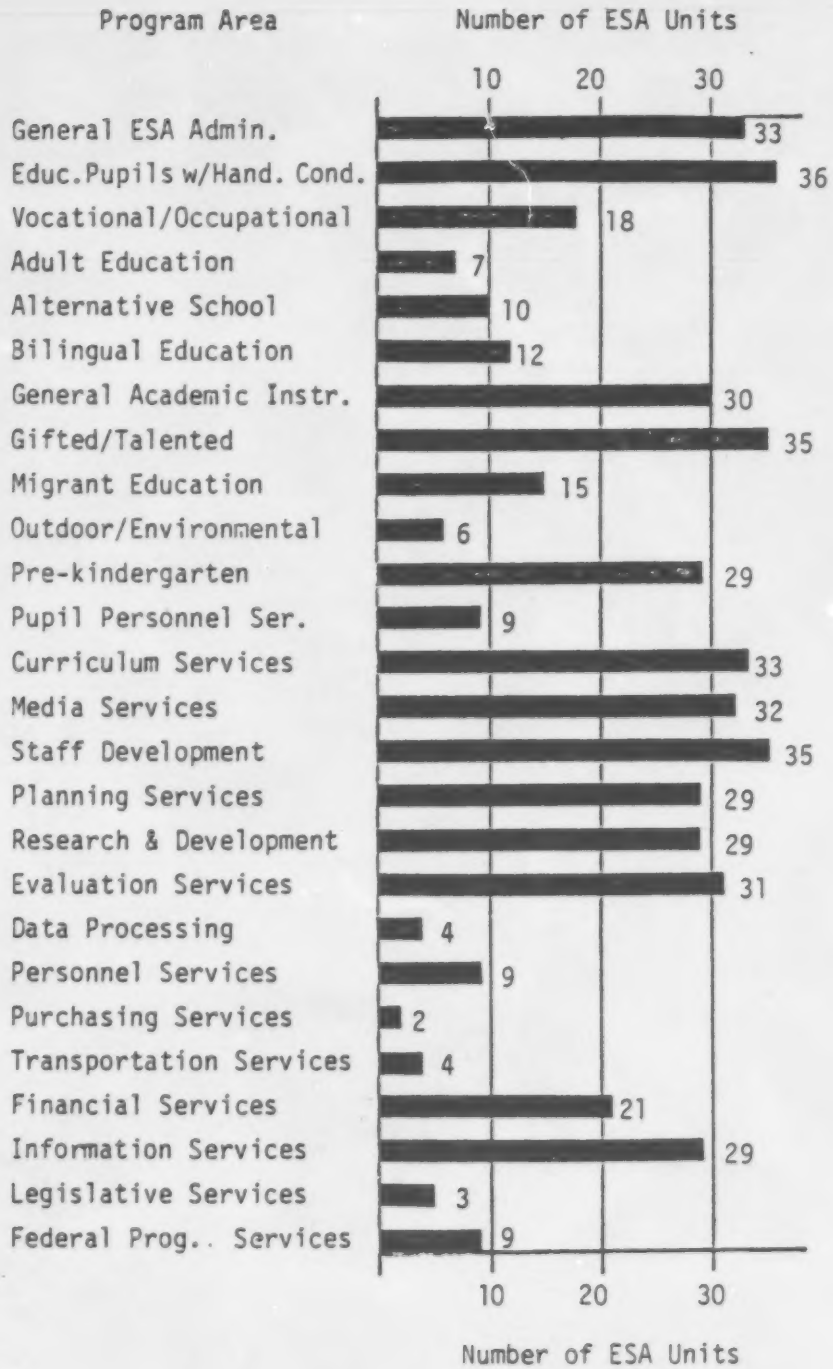
NUMBER OF SPECIAL DISTRICT ESA UNITS OFFERING SERVICES
IN
TWENTY-SIX PROGRAM AREAS IN 1977-78



n=208 Special District ESAs

FIGURE 23

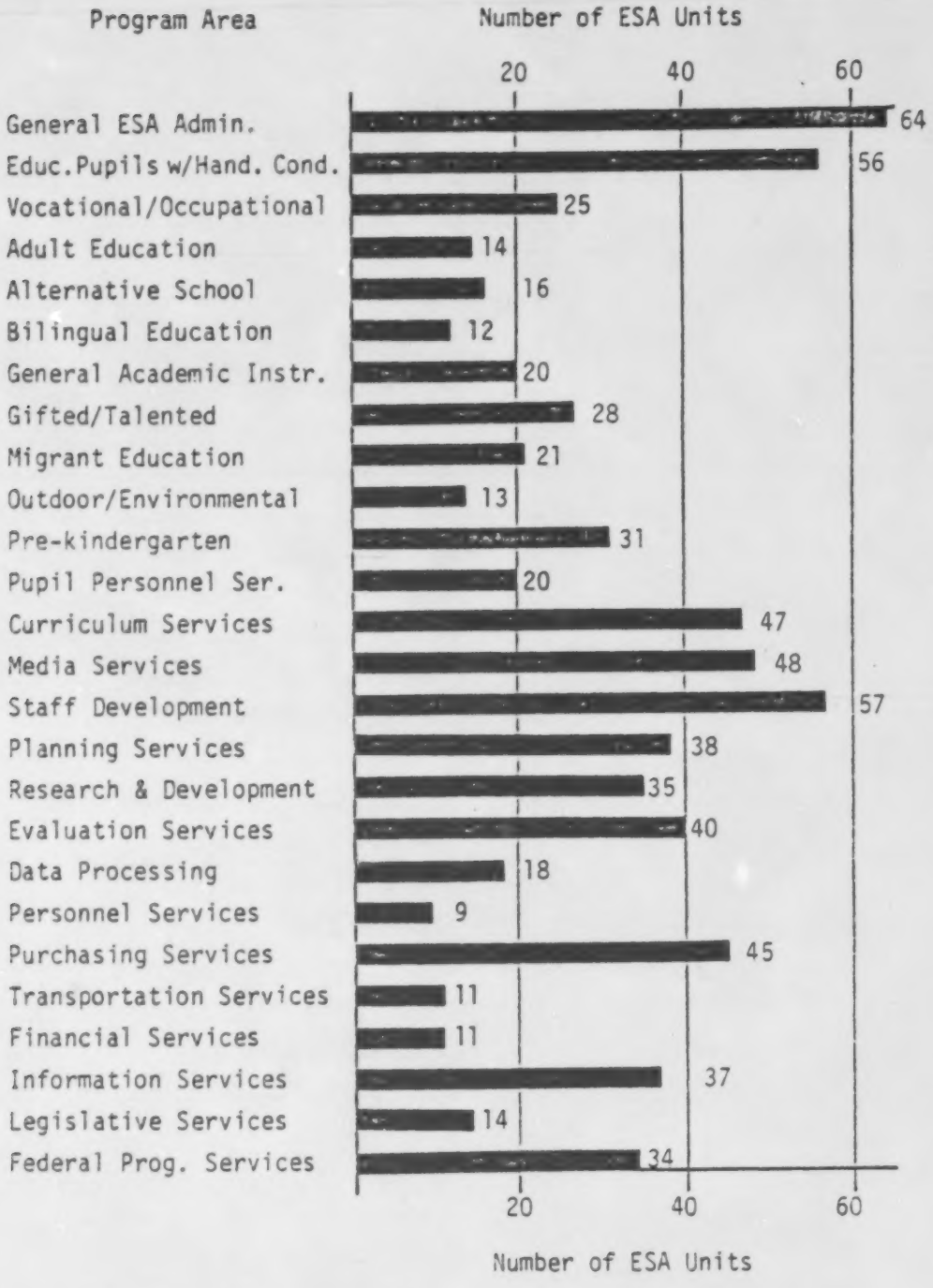
NUMBER OF REGIONALIZED SEA/ESA UNITS OFFERING SERVICES
IN
TWENTY-SIX PROGRAM AREAS IN 1977-78



n=36 Regionalized SEA/ESA Units

FIGURE 24

NUMBER OF COOPERATIVE ESA UNITS OFFERING SERVICES
IN
TWENTY-SIX PROGRAM AREAS IN 1977-78



n=70 Cooperative ESA Units

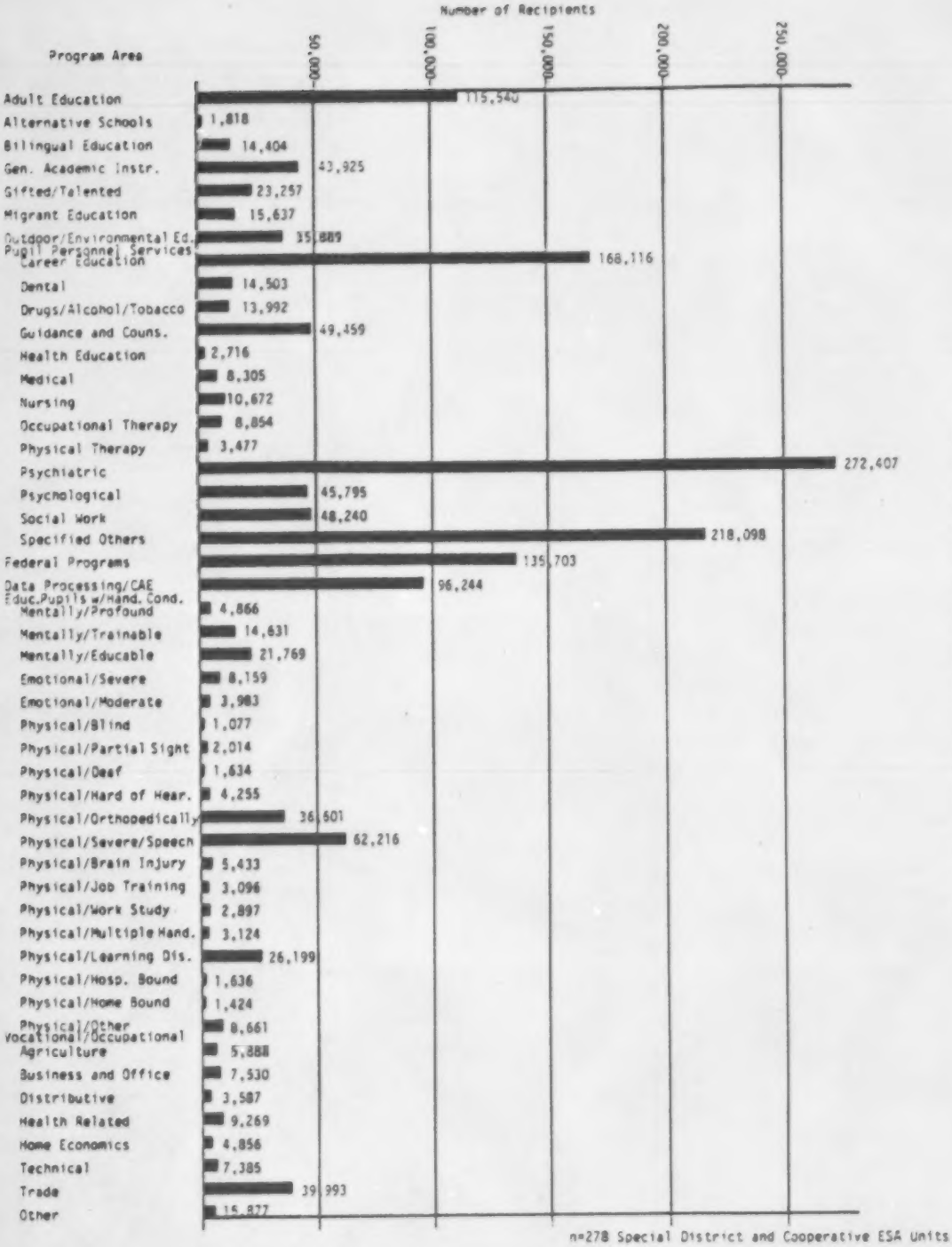


FIGURE 25

NUMBER OF RECIPIENTS OF DIRECT INSTRUCTIONAL SERVICES IN FORTY-NINE PROGRAM AREAS OFFERED BY SPECIAL DISTRICT AND COOPERATIVE ESA NETWORKS IN 1977-78

FIGURE 26

NUMBER OF RECIPIENTS OF DIRECT INSTRUCTIONAL SERVICES OFFERED BY SPECIAL DISTRICT ESA NETWORKS IN 1977-78 BY TYPE OF RECIPIENT

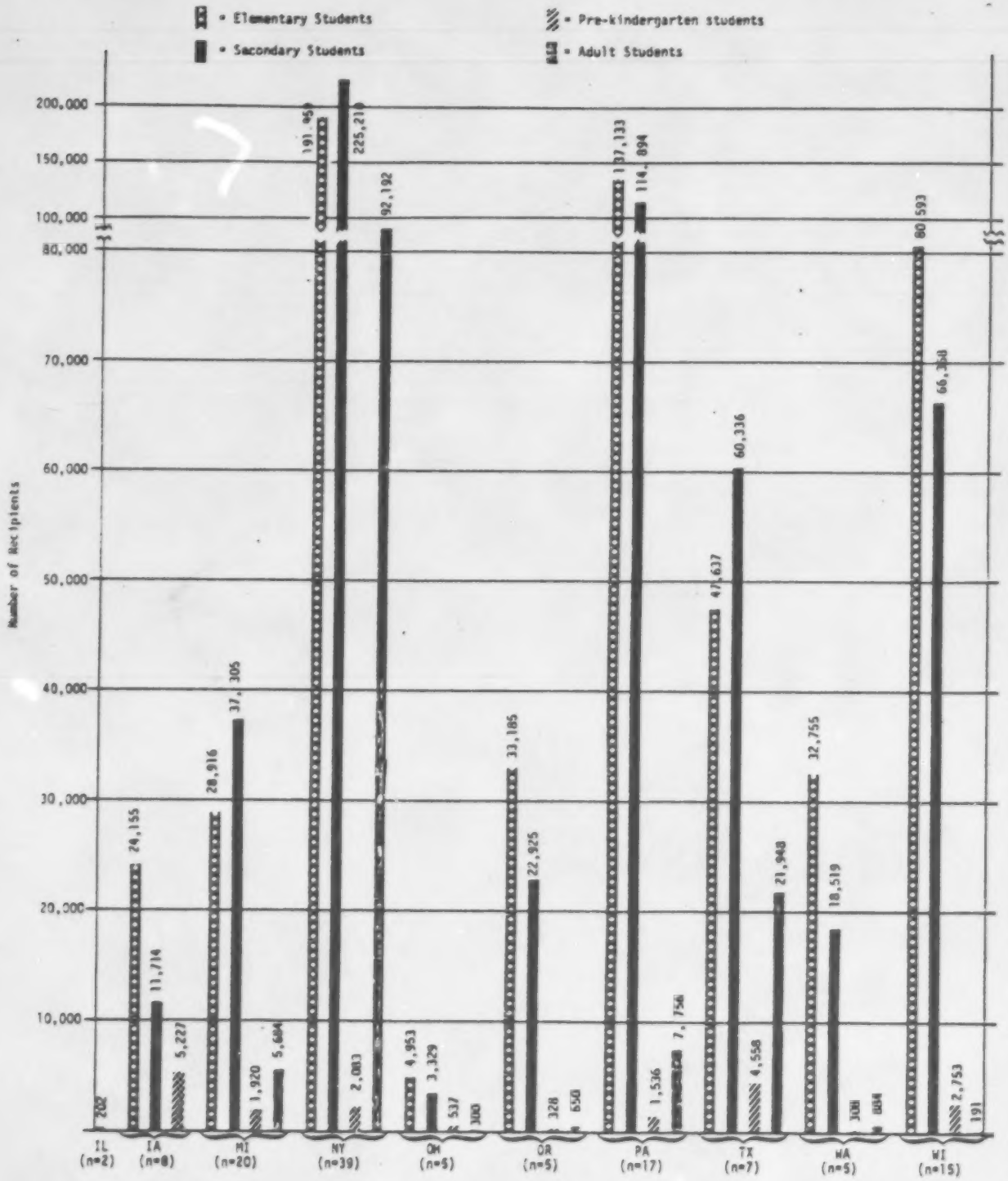


FIGURE 27

NUMBER OF RECIPIENTS OF DIRECT INSTRUCTIONAL SERVICES OFFERED BY COOPERATIVE ESA NETWORKS IN 1977-78 BY TYPE OF RECIPIENT

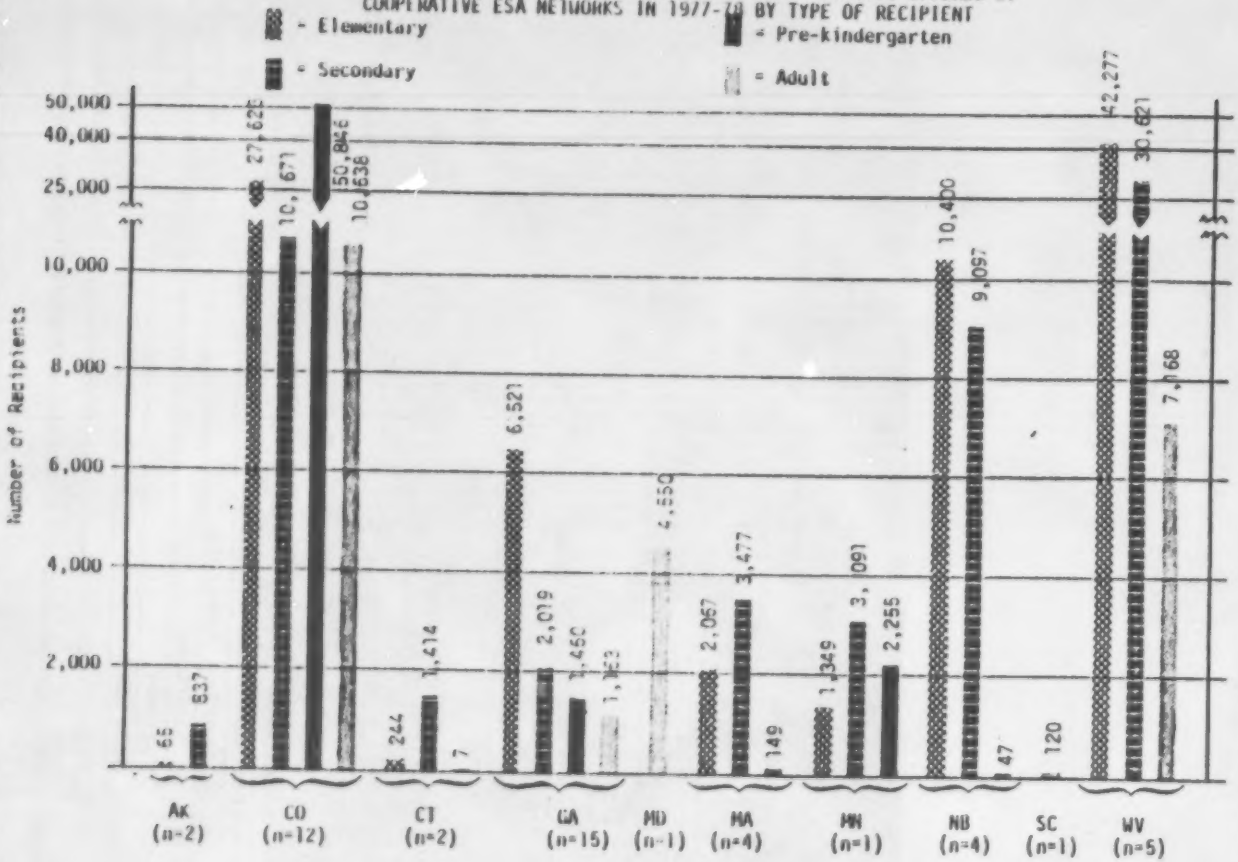
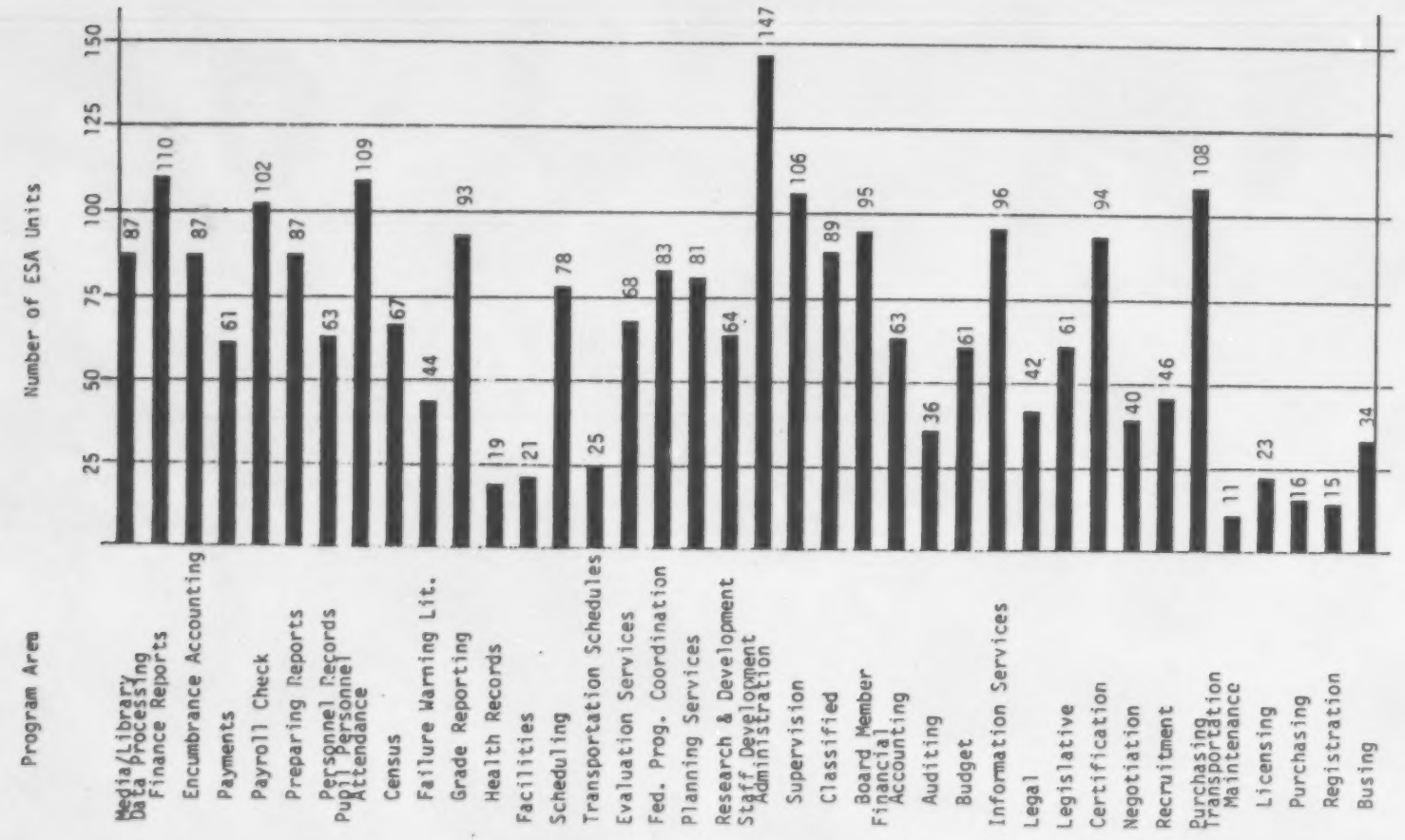


TABLE 24 RANKING OF INDIRECT INSTRUCTIONAL SERVICES OFFERED BY ESA NETWORKS, BY NUMBER OF LEAs RECEIVING SERVICES IN 1977-78

Indirect Instructional Services	Ranking by Number of LEAs Receiving Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Pupil Diagnosis	-	-	-	-
Disadvantaged	13	17	10	18
Emotionally Disturbed	8	8	-	4
Learning Disabled	5	5	8	1
Retardation	6	6	11	2
Physically Handicapped	9	10	8	4
Curriculum Services	21	11	15	19
Media and Library Services	-	-	-	-
Audio-Visual Equipment Loan	14	18	12	15
Audio-Visual Equipment Repair	12	7	22	10
Curriculum Library Services	4	3	3	8
Educational Television	20	19	18	22
Production Center	17	13	16	16
Film Library	1	1	13	6
TV Tape Production	19	16	21	21
Other Instructional Materials	3	2	4	8
Professional Library Services	11	12	14	17
Tape/Record/TV Tape Library	16	9	17	18
Data Processing Services	-	-	-	-
Computer Assisted Guidance	23	22	20	23
Testing/Scoring Analysis	22	21	19	20
Evaluation Services	15	20	5	13
Federal Programs	10	14	7	10
Planning Services	7	15	2	7
Research and Development	18	23	6	14
Professional Staff Development	2	4	1	2

FIGURE 28

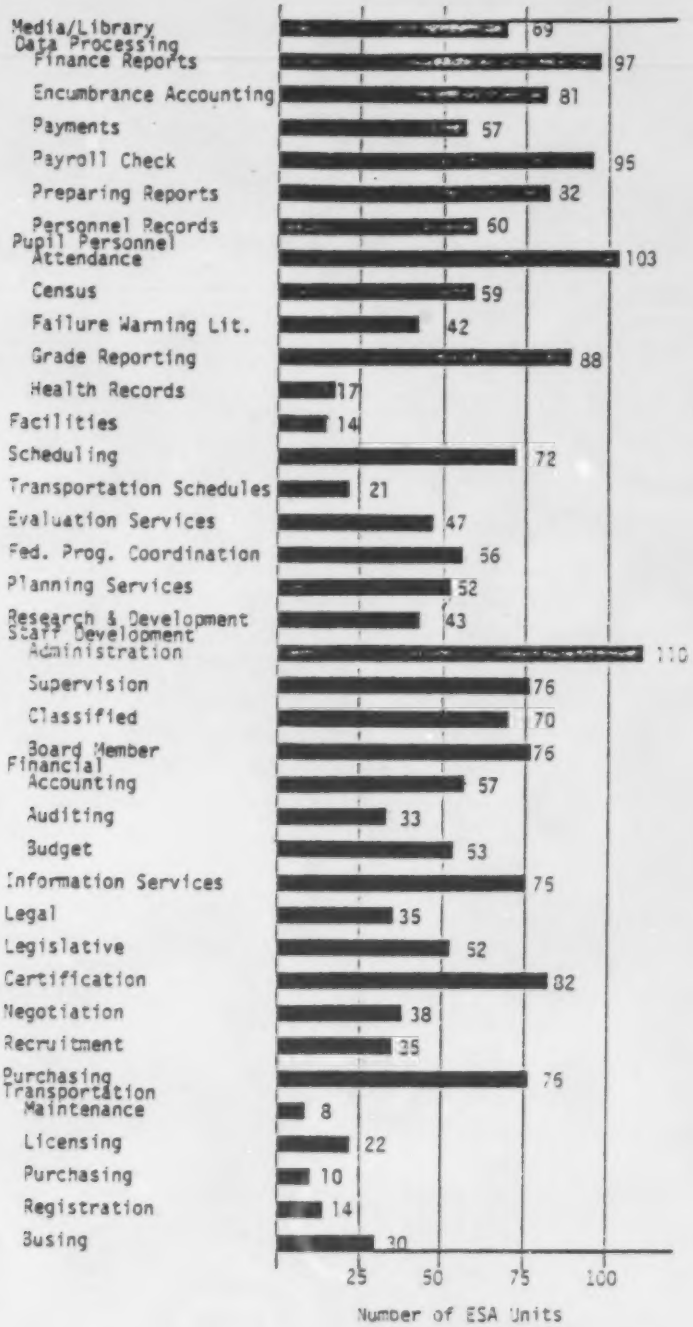
NUMBER OF ESA UNITS OF ALL TYPES OFFERING SERVICES IN THIRTY-EIGHT INDIRECT INSTRUCTIONAL PROGRAM AREAS IN 1977-78



n=314 ESA Units of All Types

FIGURE 29

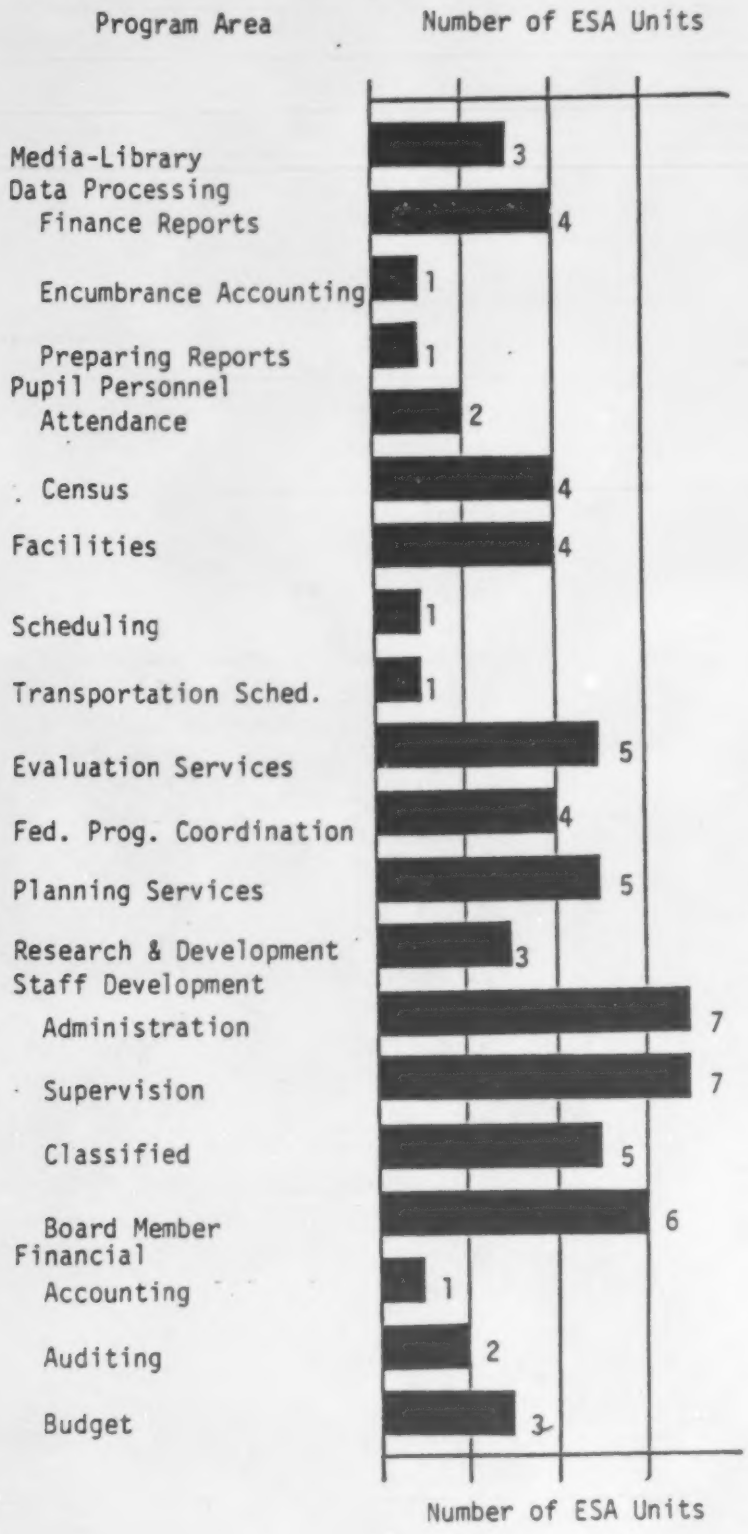
NUMBER OF SPECIAL DISTRICT ESA UNITS OFFERING SERVICES IN THIRTY-EIGHT INDIRECT INSTRUCTIONAL PROGRAM AREAS IN 1977-78



n=208 Special District ESA Units

FIGURE 30

NUMBER OF REGIONALIZED SEA/ESA UNITS OFFERING SERVICES IN TWENTY INDIRECT INSTRUCTIONAL PROGRAM AREAS IN 1977-78



n=36 Regionalized SEA/LEAs

FIGURE 31

NUMBER OF COOPERATIVE ESA UNITS OFFERING SERVICES IN THIRTY-EIGHT INDIRECT INSTRUCTIONAL PROGRAM AREAS IN 1977-78

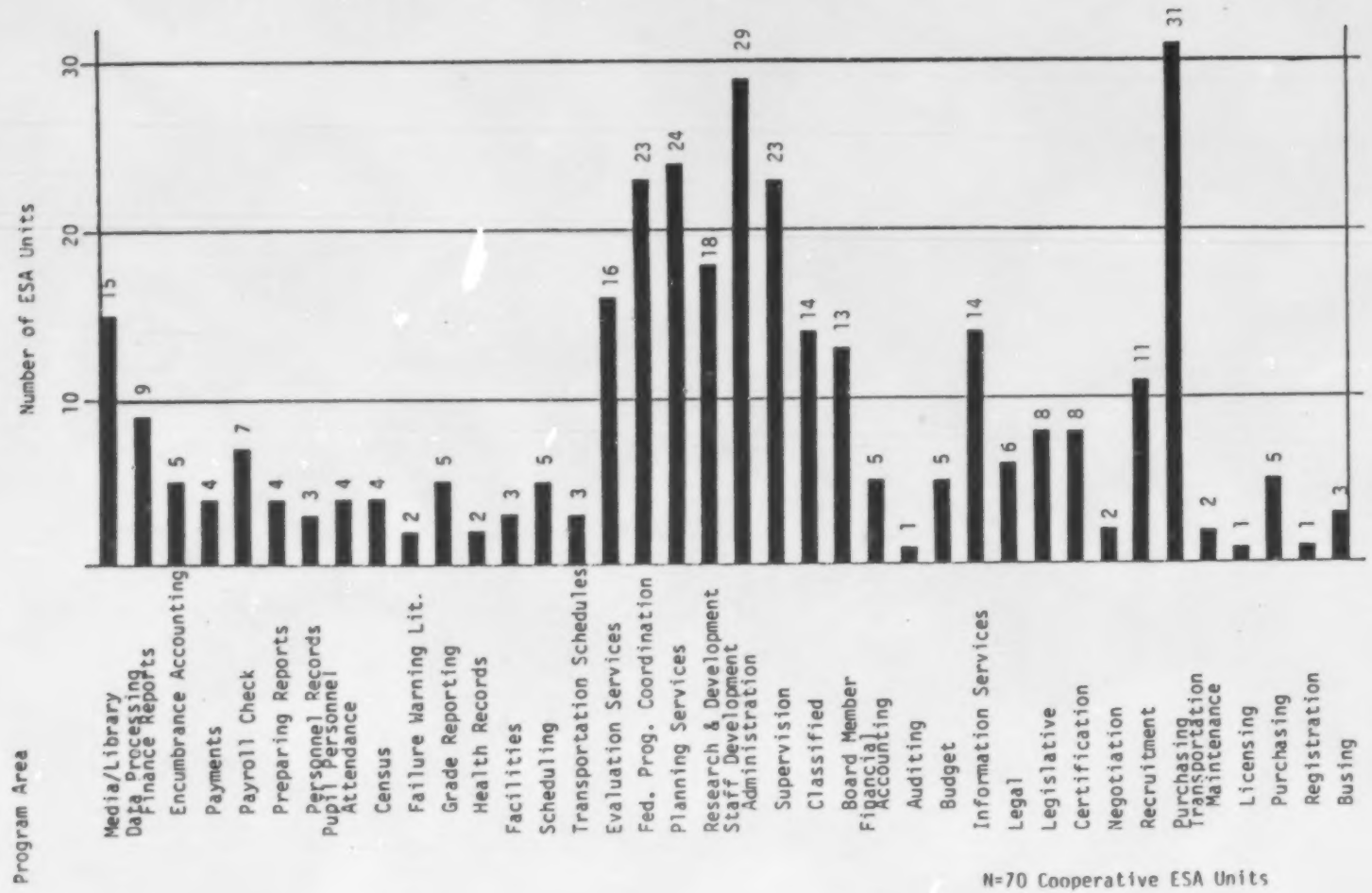


TABLE 26 RANKING OF MANAGEMENT SERVICES OFFERED BY ESA NETWORKS BY NUMBER OF ESAs OFFERING SERVICES IN 1977-78

Management Services to Public LEAs	Ranking by Number of ESAs Offering Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Media and Library Services	12	15	13	8
Data Processing Services	-	-	-	-
Financial Reports	2	3	8	13
Encumberance Accounting	12	8	18	18
Payments	23	18	-	24
Payroll Checks	6	4	-	16
Preparation of Reports	12	6	18	24
Personnel Records	21	16	-	28
Pupil Personnel Services	-	-	-	-
Attendance	3	2	16	24
Census	19	17	3	24
Failure Warning List	28	26	-	32
Grade Reporting	10	5	-	19
Health Records	35	33	-	32
Facilities	34	34	8	28
Scheduling	17	13	18	18
Transportation Schedule	25	21	18	18
Evaluation Services	18	24	5	7
Federal Programs Coordination	15	20	8	4
Planning Services	16	22	5	3
Research and Development	20	25	13	6
Staff Development	-	-	-	-
Administrators	1	1	1	2
Supervisors	5	9	1	1
Classified	11	14	5	9
Board Members	9	9	4	11
Financial Services	-	-	-	-
Accounting	21	18	13	18
Auditing	31	30	16	36
Budget	23	21	13	13
Information Services	3	12	1	9
Legal Services	29	28	18	17
Legislative Services	23	22	18	14
Certification	7	6	3	14

(Continued.....)

TABLE 26 (Continued)

Management Services to Public LEAs	Ranking by Number of ESAs Offering Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Negotiations	30	27	—	32
Recruitment	27	28	—	12
Purchasing	4	9	18	1
Transportation				
Maintenance	38	37	18	32
Licensing	33	32	—	36
Purchasing	36	36	18	18
Registration	37	34	—	36
Busing	32	31	18	28

TABLE 27 - RANKING OF SERVICES TO SEA OFFERED BY ESA NETWORKS, BY NUMBER OF ESAs OFFERING SERVICES IN 1977-78

Services to State Education Agencies	Ranking by Number of ESAs Offering Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Direct Instructional Services				
Adult Basic Education	13	11	12	5
High School Equivalency	5	4	12	5
Drugs and Health Education	24	24	12	-
Media and Library Services	14	16	4	10
Data Processing Services	23	21	-	-
School District Data				
Demographic	6	7	4	5
Financial	2	2	4	10
Organizational	7	5	12	10
Personnel	3	3	4	10
Instructional Programs	10	8	4	10
Federal Programs Coordination	7	12	2	3
Planning Services				
Facilities	20	19	12	-
Financial	19	18	12	-
Personnel	17	13	-	-
Organizational	13	13	12	10
Research and Development	16	22	3	2
Staff Development	12	13	2	3
Financial Services				
Accounting	25	24	-	-
Auditing	20	19	12	-
Budget	17	16	12	-
Payments to LEAs	9	5	12	-
Federal Programs	10	9	4	5
Information Services	4	9	1	1
Legal Services	28	29	12	-
Legislative Services	22	22	4	5
Personnel Services				
Certifications	1	1	12	10
Negotiations	26	27	-	-
Recruitment	24	26	4	-
Transportation				
Maintenance	29	29	-	-
Purchasing	27	28	-	10
Busing	29	29	-	-

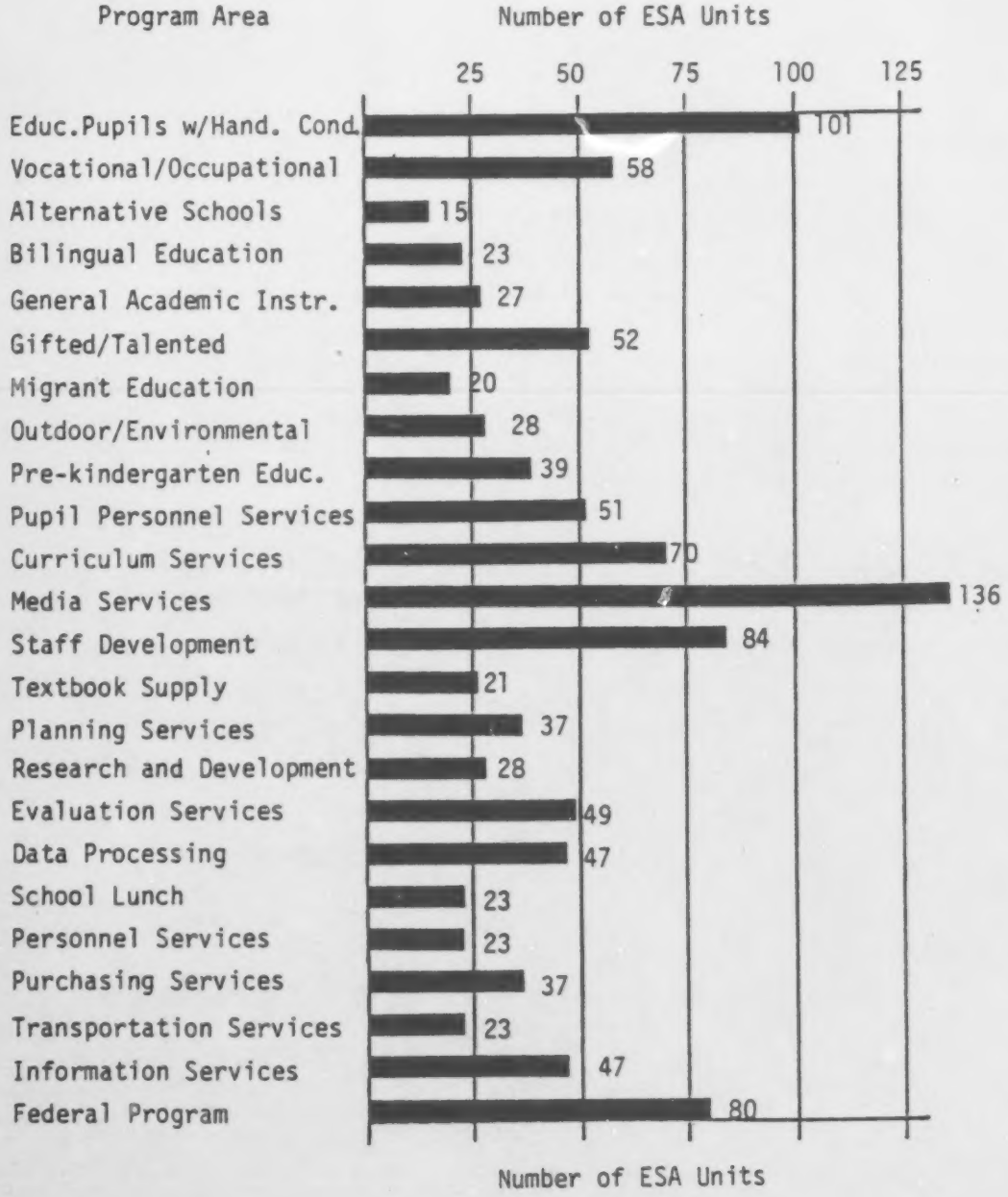
TABLE 28

RANKING OF PROGRAMS AND SERVICES TO NONPUBLIC SCHOOLS OFFERED BY ESA NETWORKS, BY NUMBER OF ESA OFFERING SERVICES IN 1977-78

Program Area	Ranking by Number of ESAs Offering Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Education of Pupils with Handicapping Conditions	2	2	2	4
Vocational/Occupational	6	5	11	13
Alternative Schools	24	24	16	13
Bilingual Education	18	20	13	16
General Academic Education	18	19	8	16
Gifted/Talented Education	7	9	11	8
Migrant Education	23	20	18	19
Outdoor Environmental Education	15	13	18	19
Kindergarten Education	12	11	13	12
Pupil Personnel Services	8	8	13	13
Curriculum Services	5	5	2	3
Media and Library Services	1	1	2	1
Staff Development	3	4	5	2
Textbook Supply	22	16	-	19
Planning Services	13	12	16	9
Research & Development	15	20	8	11
Evaluation Services	9	14	1	9
Data Processing	10	7	22	16
School Lunch Program	18	20	8	-
Personnel Services	18	18	18	19
Purchasing Services	13	12	22	5
Transportation Services	18	16	18	-
Information Services	9	10	6	7
Federal Programs	4	3	6	6

FIGURE 32

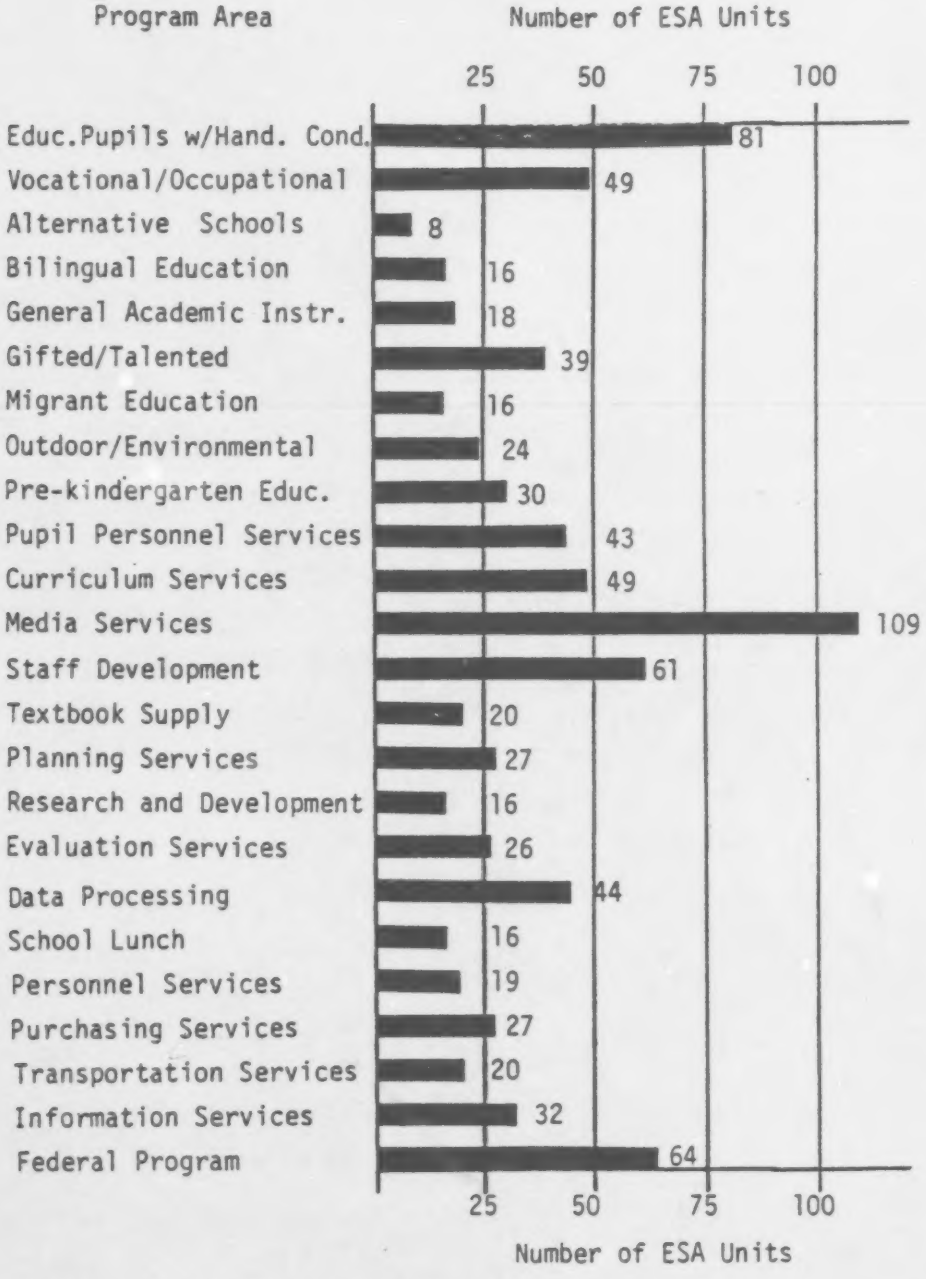
NUMBER OF ESA UNITS OF ALL TYPES OFFERING SERVICES IN TWENTY-FOUR PROGRAM AREAS TO NONPUBLIC SCHOOLS IN 1977-78



n=314 ESA Units of All Types

FIGURE 33

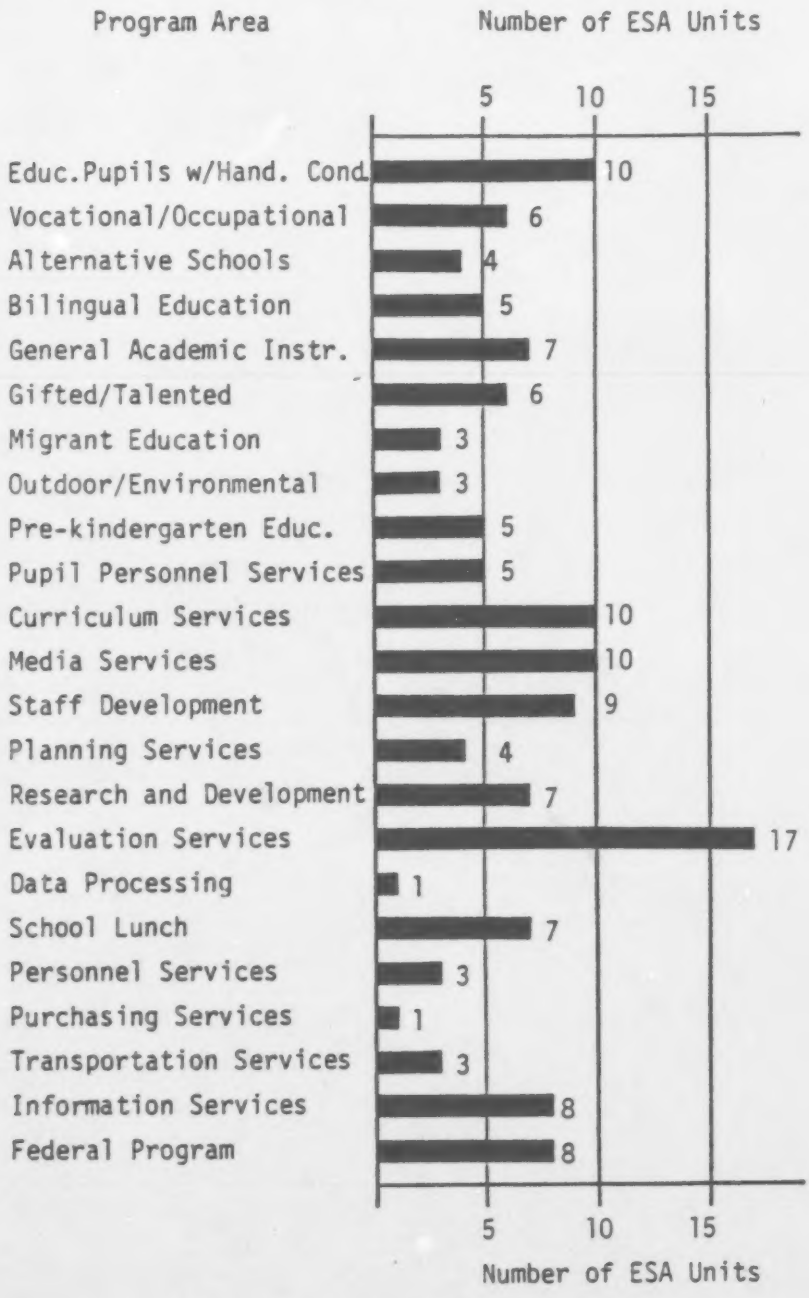
NUMBER OF SPECIAL DISTRICT ESA UNITS OFFERING SERVICES IN TWENTY-FOUR PROGRAM AREAS TO NONPUBLIC SCHOOLS IN 1977-78



n=208 Special District ESAs

FIGURE 34

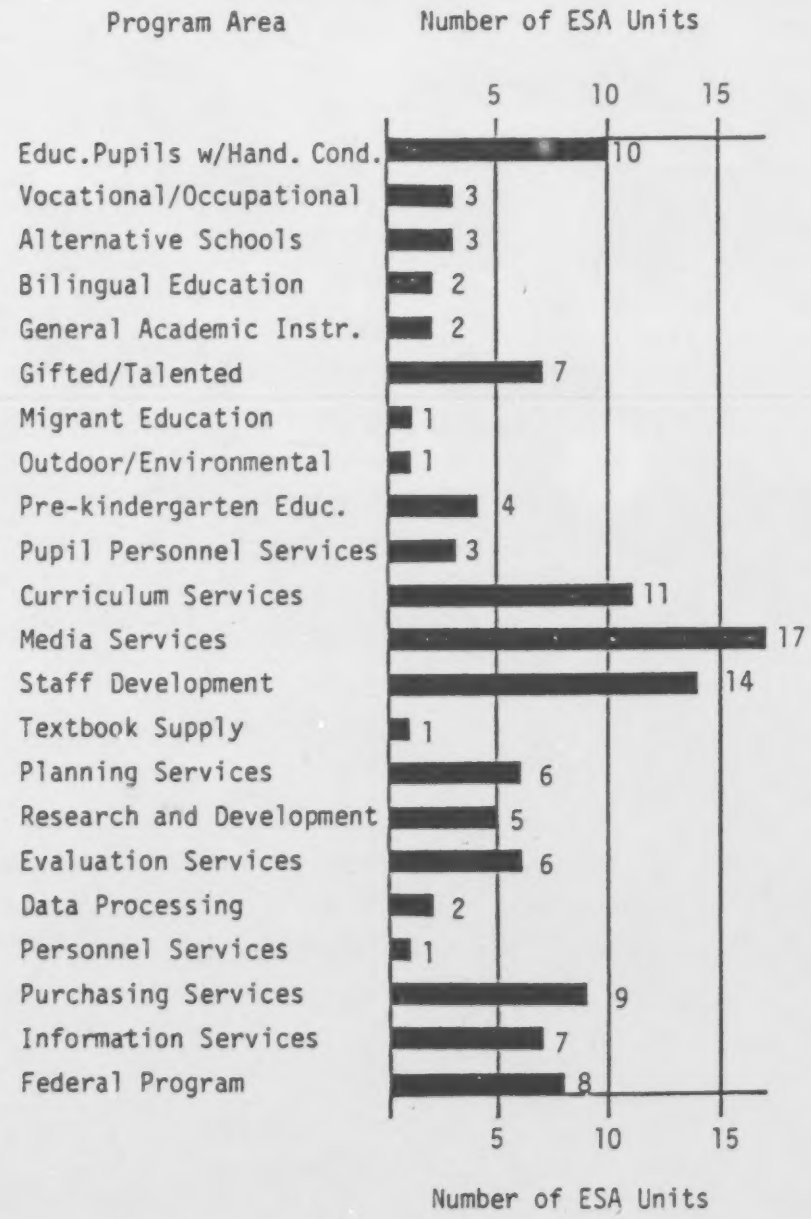
NUMBER OF REGIONALIZED SEA/ESA UNITS OFFERING SERVICES
IN
TWENTY-THREE PROGRAM AREAS TO NONPUBLIC SCHOOLS IN 1977-78



n=36 Regionalized SEA/ESA Units

FIGURE 35

NUMBER OF COOPERATIVE ESA UNITS OFFERING SERVICES IN TWENTY-TWO PROGRAM AREAS TO NONPUBLIC SCHOOLS IN 1977-78



n=70 Cooperative ESA Units

TABLE 29 RANKING OF SERVICES TO AGENCIES OTHER THAN LEAs AND THE SEA OFFERED BY NUMBER OF ESAs OFFERING SERVICES IN 1977-78

Services to Agencies Other Than LEAs and SEAs	Ranking by Number of ESAs Offering Services			
	All ESAs	Special District ESAs	Regionalized SEA/ESAs	Cooperative ESAs
Direct Instruction				
Adult Education, Classroom/lab/shop	3	4	4	3
Basic (ABE)	11	12	7	3
Career Education	22	24	7	14
Citizenship	23	28	12	7
Family Life	17	16	12	14
Health & Nutrition	2	1	7	14
High School Equivalency	3	2	7	14
Job-entry Training	5	5	12	7
Job Updating	12	10	-	14
Job Advancement	16	16	7	14
Mental Health	28	24	-	-
Retirement Plans				
Adult Education, Individual, Small Group	9	8	12	7
Counseling & Testing	7	7	12	3
Career Planning	12	13	12	2
Educational Planning	19	19	12	7
Computer Guide Information	28	29	12	14
Computer Assisted Instruction	35	34	-	-
Occupational Therapy	31	29	-	-
Physical Therapy				
Indirect Instruction	24	29	4	14
Curriculum Evaluation	14	15	1	7
Curriculum Planning	19	18	12	-
Curriculum Research & Development	1	3	4	1
Media & Library Services				
Staff Development	13	20	12	7
Selection of Instructors	25	24	12	14
Evaluation of Instructors	10	11	3	3
Training of Instructors	19	21	12	7
Supervision of Instructors				
Management Services	15	14	-	14
Data Processing	33	34	-	14
Facility Planning	7	8	1	-
Information Services	26	20	-	-
Legislative Services				
Management	28	27	-	-
Staff Development (non-instruction)	27	20	-	-
Planning	33	32	-	-
Research & Development				
Transportation	36	34		
Planning	37	34		
Vehicle Maintenance	31	32	-	14
Vehicle Operation	6	6	12	14
Use of ESA Facilities				

TABLE 30 NUMBER OF ESAs JOINTLY OFFERING PROGRAMS WITH OTHER AGENCIES IN 1977-78

Type of ESA and State	Number of ESAs in State	Number of ESAs Participating in Study	Number of ESAs Responding	Number of ESAs Jointly Offering Programs and Services						
				Another ESA	LEA	SEA	Post-Secondary Institution	Other Public Agency	Nonpublic School	Other Nonpublic Agency
TYPE A: SPECIAL DISTRICT ESA										
1. Illinois	58	21	8	5	3	4	6	4	-	-
2. Iowa	15	15	10	4	3	3	6	3	1	1
3. Michigan	58	24	16	12	5	2	6	7	1	1
4. New York	44	44	28	23	6	8	15	11	1	7
5. Ohio (COE)	87	21	8	4	3	2	2	3	1	1
6. Oregon	29	13	9	7	4	-	1	4	-	1
7. Pennsylvania	29	22	11	5	5	6	7	5	2	2
8. Texas	20	20	12	10	8	6	9	5	4	4
9. Washington	9	9	6	1	-	-	2	3	-	-
10. Wisconsin	19	19	8	1	-	-	2	3	-	-
Total	368	208	111	74	40	34	56	47	13	19
TYPE B: REGIONALIZED SEA/ESA										
1. Massachusetts (REC)	5	5	3	2	1	1	2	1	-	-
2. New Jersey (ETC)	4	4	2	-	-	1	2	1	-	1
3. North Carolina	7	6	2	2	1	-	2	1	1	-
4. Oklahoma	20	20	-	-	-	-	-	-	-	-
Total	37	36	7	4	2	2	6	3	1	1
TYPE C: COOPERATIVE ESA										
1. Alaska	5	3	1	1	1	-	-	-	-	-
2. Colorado	17	16	7	2	1	1	2	4	1	2
3. Connecticut	6	2	2	1	1	1	1	-	-	-
4. Georgia	16	16	6	5	4	3	3	3	-	1
5. Indiana	4	4	2	1	1	2	1	-	-	-
6. Maryland	1	1	1	1	1	1	-	1	-	-
7. Massachusetts (EC)	5	5	2	-	1	1	1	2	-	-
8. Minnesota	9	6	3	1	-	1	1	1	-	-
9. Nebraska	19	5	2	2	1	2	1	-	-	-
10. Ohio (RESA)	3	2	2	-	1	-	-	-	-	-
11. South Carolina	1	2	2	-	-	-	-	-	-	-
12. West Virginia	3	3	1	-	1	2	2	2	-	-
Total	96	70	30	14	14	14	12	13	1	3
Total All ESAs	501	314	148	92	56	50	74	63	15	23

CHAPTER EIGHT

SELECTED STAFFING CHARACTERISTICS

I. INTRODUCTION

Increasing demands from local districts, as well as added mandates at the state level, have led to increases in the staffs of ESAs generally in the past few years. However, the percentage of staff members remains largely concentrated in a few states. This chapter presents selected staff characteristics, including:

1. Staffing patterns of ESAs by program area, ranking of program areas according to number of staff, changes in staffing patterns and their causes, staff funded with federal monies and joint employment practices;
2. Certification and tenure practices;
3. Collective bargaining practices;
4. Staff evaluation practices; and,
5. Other items, including staff development programs, criteria used in salary schedules, comparison of ESA and LEA salaries, contract issues and the screening of candidates for ESA management positions.

II. STAFFING PATTERNS IN 1977-78 AND CHANGES SINCE 1974-75, BY PROGRAM AREA

Generally, nearly 1/2 of the full-time equivalent staff members of the 26 ESA networks responding to this phase of the study were in the area of education of the handicapped (See Table 31 and Figure 36.) Second in the number of staff personnel was vocational and occupational education, followed closely by adult education. Less than 5 per cent of the staff members were assigned to general ESA administration. After that came, in descending order of numbers, pre-kindergarten education and media and library services (3 per cent of the total staff), data processing, federal programs, pupil personnel and curriculum services. None of the other 14 program areas employed as many as 2 per cent of the total ESA full-time staff.

The special district networks employed 90 per cent of the total full-time equivalent ESA staff members (See Figure 38.) The ranking of program areas by total full-time equivalent staff closely corresponds to the ranking of all ESAs. Nearly 1/2 were in the area of education of the handicapped.

In the regionalized networks, the respondents represented about 11 per cent of the total ESAs, reported employing only 1.6 per cent of the total number of full-time staff members. The ranking differs slightly from ESAs as a whole. The largest number of staff members were employed in the area of education of the handicapped (about 1/3 of the total.) About 15 per cent of the staff was employed in the area of general administration, and about 5 per cent to 10 per cent were employed in the program areas of vocational and occupational education, general academic instruction, curriculum services and federal programs. About 2/3 of the staff members were consultants--the remainder were supervisors and administrators and classified staff.

Over 20 per cent of the responding ESA executives represented cooperative networks and reported about 8 per cent of the total ESA staff members. The ranking was somewhat different from that for ESAs generally. The area of education of the handicapped employed about 45 per cent of the total. Ranked second was adult education, employing about 10 per cent. More than 5 per cent were assigned to general administration; no other program had 5 per cent or more of the staff. Nearly half of the staffs were teachers and teacher aids.

Numerous program areas had staff member increases between 1974-75 and 1977-78. Those reported from half or more of the ESAs were education of the handicapped, vocational and occupational education, adult education, migrant education, pre-kindergarten education, pupil personnel services, media and library services, data processing, financial services and federal programs. Ninety per cent of the ESAs reported an increase in staff education of the handicapped. One-third to 1/2 of the ESAs reported staff increases for general administration, general academic instruction, environmental education, evaluation services, planning, research and development, staff development, information, personnel, purchasing and transportation services. At least 10 per cent of the officers reported decreases in staffing in bilingual education, general academic instruction, environmental education and curriculum services.

The most frequently cited reason for staff increases was requests from LEAs, especially for vocational and occupational education, bilingual education, general academic instruction, gifted and talented education, environmental education, pupil personnel services, curriculum services, media and library services, data processing, evaluation, planning, research and development, staff development and legislative services. Shift in local funds was the least frequently cited cause for staff changes.

Almost matched in frequency as a reason for staff increases were changes in legislation and/or state regulations, and changes in federal guidelines. Where the former was cited, a shift in state funds accompanied the state-level changes. At least 1/3 of the participating executive officers reported staff increases to handle expansion of the handicapped and bilingual education.

In the special district networks, staff changes closely followed the overall pattern. Decreases in staffing were reported by some ESAs in most programs, but this exceeded 10 per cent or more ESAs only in the areas of general academic instruction, environmental education, pupil personnel services.

Half or more of the officers in the regionalized systems reported staff increases in the areas of general administration, education of the handicapped, vocational and occupational education, bilingual education, general academic instruction, pre-kindergarten education, pupil personnel services, curriculum services, media and library services and information services. No decreases were reported in any program area, nor was any one cause for staff increases cited with any frequency -- except that changes in legislation and/or state regulations had causes increases for general administration and education of the handicapped.

In the cooperative networks, half or more of the ESAs reported staff increases for education of the handicapped, adult education, alternative schools, general academic instruction, environmental education, pupil personnel services, planning, research and development, information, legislative and transportation services. There were numerous decreases, but

10 per cent or more of the ESAs reported decreases only for bilingual education, general academic instruction, migrant education, curriculum, planning, information, transportation services and federal programs.

As to staff supported by federal funds, some special district ESA executive officers in all states, except Illinois, reported using federal money to employ full-time administration and supervisory personnel. One-fourth to 1/2 of these responding from Michigan, New York, Pennsylvania, Taxas, Washington and Wisconsin used federal money for staffing. The funds were used infrequently to employ part-time administrative and supervisory personnel. The average per cent of administrative and supervisory staff employed with federal funds ranged from about 5 per cent in Iowa and New York to almost 30 per cent in Texas, Washington and Wisconsin. In all states, the number of units using federal money for staff by the federal level is small, but half of the responding units in Iowa, Michigan, New York and Pennsylvania reported using federal funds for full-time teacher salaries. The portion funded by federal monies is more than 40 per cent in the Ohio ESAs and in 2 Washington ESAs, and almost 100 per cent in 4 Texas ESAs. All states reported increases in using federal funds for teacher salaries.

In the regionalized networks, most Massachusetts and New Jersey EICs use federal funds for full-time administrative and supervisory salaries. Only 1 Oklahoma unit uses federal funds for this purpose, and none in North Carolina. In 1974-75, 17 units in Oklahoma used federal funds for this purpose.

The participating cooperative ESAs reported that no federal support for salaries in any category existed in Indiana, Maryland or South Carolina. Both Ohio RESA officers reported federal support of both full-time and part-time administrative and supervisory salaries, consultants and specialists and classified staff. Partial federal support of administrators and supervisors was reported in less than half of the responding units in the rest of the states, except Massachusetts, where most units reported using federal funds for this purpose.

The joint employment of staff with other agencies was not a common practice among any of the types of ESAs (See Table 33.) Three-fourths of the participating special district officers reported that none of their staff were jointly employed. One-third to 1/2 of the units responding in Iowa, New York, Ohio and Washington reported some joint appointments. The sharing usually was with LEAs or another ESA -- the latter was more frequently reported in New York. At least one ESA and post-secondary school joint appointment practice was reported in 7 states.

Most regionalized units reported no joint appointments.

About 3/4 of the cooperative units that participated reported they do not jointly employ staff members with other agencies. There were no instances in Connecticut, Indiana and Ohio RESAs. However, all responding units in Maryland, Massachusetts and Minnesota reported joint appointments. Most Colorado units jointly employ one staff member with another public agency; otherwise, the few joint appointments are with LEAs or post-secondary institutions.

III. CERTIFICATION AND TENURE PRACTICES

There were different perceptions about both certification and tenure reported by the executive officers. Certification is generally required for administrators and supervisors, consultants and specialists and teachers, according to the special district participating executive officers. (See Table 34) The majority of Washington officers, and some in Illinois and Texas, reported that certification is not generally required for administrators and supervisors. A majority of the reporting Illinois units, and some in Michigan, New York, Texas and Washington, said certification is not generally required for consultants and supervisors. Most officers said certification is not generally needed by teacher aides, except for a majority of units reporting from Ohio and Wisconsin. Certification is almost always the same as for LEA staff members.

As for certification in the regionalized units, virtually all North Carolina and Oklahoma units reported that it was required for positions with the ESA. Some responding from Massachusetts and New Jersey EICs reported certification required for administrators and supervisors, consultants and specialists and teachers; others reported that certification was not generally required. Virtually all New Jersey, North Carolina and Oklahoma units reported that requirements for ESA staff differed from those for LEA staff.

In the cooperative networks, the respondents said that certification was generally required for all except teacher aides. Certification requirements were generally the same as for LEAs.

The picture on tenure practices is somewhat mixed. (See Table 34.) In the special district networks, administrative and supervisory positions were reported as tenured for all New York units and a majority of those replying in Pennsylvania, but they were untenured positions in most of the other units. Consultant and specialist positions were reported as tenured in a majority of units in Iowa, Michigan, Pennsylvania and Washington.

Teacher positions were reported as not tenured in special district ESAs in all New York and Oregon units and in the majority responding from Iowa, Michigan, Pennsylvania and Washington.

ESA tenure requirements in the special districts were the same as those in LEAs, according to all responding officers in Iowa, Michigan, New York and Oregon, and by most of those responding from Pennsylvania, Washington and Wisconsin. More of the officers said tenure requirements had no impact on personnel decisions when services were added or dropped than those who said it influenced personnel decisions somewhat or extensively.

In the regionalized systems, virtually all officers from the 4 participating networks reported that the staff positions were not tenured. Those in North Carolina and Oklahoma who responded said that tenure laws do not complicate staff problems when services are added or dropped. However, Massachusetts and New Jersey EIC officers said tenure somewhat complicates personnel decisions or else were uncertain about its impact.

Administrative and supervisory positions were reported as tenured in all cooperative units responding from Connecticut and Massachusetts, a majority of those responding from Georgia and by half responding from Nebraska. The proportion and number of tenured consultant and specialist positions and teacher positions in the cooperative units are similar to LEA administrative

and supervisory positions in every state, with a majority of positions not tenured. Teacher aides tended to not be in tenured positions. Most responding officers said that tenure requirements do not complicate staffing problems when services are added or dropped.

IV. COLLECTIVE BARGAINING PRACTICE

There were different perceptions about collective bargaining practices reported by executive officers. Half of the responding special district officers in New York, Oregon and Pennsylvania reported that collective bargaining is legislatively required, and in the remaining units in those states, it is allowed. Collective bargaining is required by legislation for some units in Iowa, Michigan and Wisconsin, and it is allowed in all units that responded. But collective bargaining was reportedly prohibited in the majority of replying units in Illinois and Texas, allowed in the majority of respondents in Ohio and Washington, and prohibited in the remaining units of those states.

Collective negotiations were reported taking place in most responding special district units in Iowa, Michigan, New York, Oregon and Pennsylvania, and most had contracts. Negotiations were not taking place in those replying from Illinois, Ohio and Texas, and in most of them in Washington and Wisconsin. In the 7 states where some officers reported contracts in place, virtually no middle level administrators are covered by negotiated contracts. A majority reported that the negotiation practices influenced personnel decisions where services are dropped or added, and that the influence was extensive.

The North Carolina and Oklahoma regionalized units reported that collective bargaining was prohibited. It is allowed in most New Jersey EIC's, but negotiations are not taking place.

In the cooperative units, collective bargaining was reportedly prohibited by legislation in all Georgia, Ohio and West Virginia units. It is allowed in all units in Indiana and Nebraska, and in a majority of them in Alaska, Colorado and Massachusetts. The Alaska bargaining contract covers middle level administrators only, while the 2 Minnesota contracts cover a number of personnel positions. Sevenof the 8 officers who expressed their opinions on bargaining said that it did not impact on personnel decisions when services are added or dropped.

V. STAFF EVALUATION PRACTICES

In the special district networks, staff evaluations are required, according to all praticipating executive officers in Oregon, Pennsylvania and Texas, and in a majority of units in Michigan, New York, Ohio and Washington. In a majority of units in Illinois, however, they are not required. Most often the evaluation requirements use formal evaluation procedures with fixed criteria. Some Wisconsin units reported using informal evaluations. For most with evaluation requirements, the employee's immediate supervisor and the administrators of the ESA participate in the process. Some New York units, and all those in Wisconsin, report that governing board members and LEA executive officers also participate.

In the regionalized networks, evaluations were reported required for staff members in virtually all New Jersey EICs, North Carolina and Oklahoma units, and in half of the units in Massachusetts. The employee's immediate supervisor participates in the evaluation process in most Massachusetts, New Jersey EICs and North Carolina units. In Oklahoma, only the ESA administrators participate, but they are joint participants in most other ESAs.

All participating cooperative network officers in Alaska, Connecticut, Massachusetts, Ohio and South Carolina, and a majority in Colorado, Georgia, Indiana, Minnesota, Nebraska, and West Virginia reported that staff evaluations are required. They are not required in the one Maryland unit. Formal evaluation procedures with fixed criteria are most often used. In almost all, the employee's immediate supervisor and administrators of the unit participate in the evaluation. In most Colorado units LEA executive officers are also participants. In half of the Georgia units, the ESA governing boards participate.

VI. STAFF DEVELOPMENT PROGRAMS AND SALARY SCHEDULES

Virtually all of the special district networks in each state, except Illinois, sponsor staff development programs, estimating that expenditures for them averages less than 1 per cent of the total budget. (See Table 36.) In some states -- Michigan, Ohio, Texas, and Wisconsin -- a majority of the units responding reported that expenditures for on-going staff development averaged from 2 to 5 per cent of the total budget. Two special district units in other states estimated staff development expenditures at 8-9 per cent of the total budget.

In the regionalized networks, all officers in Massachusetts, New Jersey EICs, and Oklahoma reported staff development programs. For most of them, the expenditures were less than 15; in other units, expenditures ranged from 2-5 per cent.

Almost all replying from cooperative networks reported staff development programs, except a majority of the responding officers in Indiana and West Virginia, and in some in Colorado and Minnesota. Almost as many spent 1 per cent or less for staff development as spend 2-5 per cent of the total budget.

Written criteria for establishing salary and other compensation practices were reported by almost all ESAs. (See Table 37) In the special districts, virtually all those responding except from Illinois reported the use of written criteria. The criteria used by most respondents were highest degree or cumulative credit hours, years of experience at the ESA and years of experience in other educational organizations. Also used frequently was length of the contract year.

In the regionalized units, written criteria were reported by most of the officers in the 4 responding networks. Years of experience and length of the contract year were the criteria used the most.

Most responding cooperative network officers in all states, except Indiana and South Carolina, reported using written criteria. The highest degree or cumulation of credit hours, years of experience in the ESA and in other educational organization were mentioned by almost all units. About 1/3 of the officers reported using number of employees supervised and per cent of salary of comparable LEA staff, also.

In comparing ESA and LEA salaries, the majority of special district units that responded reported that salaries in both levels are essentially the same for all categories of employment.

In the regionalized networks, officers in Oklahoma and Massachusetts reported that the salaries of executive officers and consultants and specialists were generally less than comparable LEA positions. Virtually all New Jersey EIC staff members positions have the same salaries as comparable LEA positions.

In the cooperative networks, those responding reported that administrators and supervisors receive salaries generally less than those paid comparable LEA staff. Other positions are paid the same salaries as LEA staff in comparable positions.

Contract length in all types of LEAs tended to be 220 days for those at the top and bottom of the staff hierarchy (See Table 38.) In special districts almost all reported an annual contract of 220 or more working days for administrators and supervisors, as well as almost all classified staff members. Teachers and teacher aides were usually on annual contracts of 190 to 220 days. In the regionalized networks, almost all administrators and supervisors, and consultants and specialists, had annual contracts of 220 or more working days. In the cooperative units, almost all reported the annual contracts of 220 or more working days. In the cooperative units, almost all reported the annual contracts for administrators and supervisors to be 220 days or more. Most teachers and teacher aides were employed 180 to 190 working days annually. As for the screening of applicants for administrative positions in ESAs, most officers of special district networks in Illinois, Michigan and Texas who responded said LEAs and the SEA generally were not involved in the screening. The majority of the other responses reported LEA involvement. In the regionalized units, all officers of the Oklahoma and New Jersey networks reported LEA and SEA involvement in screening applicants. All officers in North Carolina reported SEA involvement. A majority of the cooperative officers in Alaska, Colorado, Indiana, Ohio and West Virginia reported LEA involvement, but as a group, one-half reported no LEA involvement.

VII. SUMMARY OF MAJOR FINDINGS

Number and program areas of employees:

1. In 1977-78, a total of 40,736 full-time equivalent staff members were employed in the 314 responding ESAs. Ninety per cent were in the special districts, 8 per cent in the 70 cooperative units and 2 per cent in the regionalized networks.

2. Four special district networks employed 74 per cent of the staff members. These were New York, 32 per cent; Pennsylvania, 24 per cent; Michigan, 11 per cent; and Iowa, 7 per cent.

3. The program areas with the largest number of full-time equivalent staff members were education of the handicapped (19,548), vocational and occupational education (3,087), general administration (1,861), pre-kindergarten education (1,408) and media and library services (842).

4. About 8 per cent of the ESA staff members were full-time or part-time administrators or supervisors (3,467). Eighty-three per cent served in special district networks, 3 per cent in regionalized networks and 14 per cent in cooperative networks.

5. About 14 per cent of the staff members were full-time or part-time consultants (5,597). Eighty per cent were in special districts, 8 per cent in regionalized units and 12 per cent in cooperative units.

6. About 42 per cent of the staff members were full-time or part-time teachers (17,219). Special districts accounted for 94 per cent, while 6 per cent served in cooperative units.

7. About 17 per cent of the staff members were full-time or part-time teacher aides (6,808). Ninety-three per cent were in special districts and 7 per cent in cooperative units.

8. About 19 per cent of the staff members were full-time or part-time classified staff (7,731). Ninety-one per cent were in special districts, 2 per cent in regionalized networks and 7 per cent in cooperative systems.

Staff changes:

9. Staff increases between 1974-75 and 1977-78 or staff employed for an area added during that time were reported for 60 per cent of the 26 program areas. No change was reported in the size of staffing for 32 per cent of the programs offered, and there was a staffing decrease in 8 per cent of the program.

10. The most frequently reported cause of increases in the number of staff members were requests from LEAs for services, changes in legislation, changes in state regulations, requests from SEAs, shift in federal funds, shift in state funds, other specified causes and shift in local funds.

11. The executive officers of the special districts most frequently mentioned as the 2 leading causes for staff increases to be requests from LEAs for services and changes in legislation. The officers of the regionalized units the leading causes. The officers of the cooperative units cited requests from SEAs and changes in legislation as the 2 leading causes.

Federally funded employees:

12. About 29 per cent of the ESAs employed full-time administrators and supervisors through the use of federal funds. Forty-three employed full-time consultants and 32 per cent employed full-time teachers with federal funds.

Joint employment practices:

13. Joint employment practices were reported for 21 per cent of the ESAs, including 22 per cent of the special districts, 6 per cent of the regionalized units and 24 per cent of the cooperative units.

14. Joint appointments with LEAs in 1977-78 involved 146 staff members, closely followed by arrangements with post-secondary institutions. Other arrangements cited were with another ESA or with another public agency.

Certification of staff members:

15. The certification of staff members was generally required in a majority of ESAs for all levels of personnel, except teacher aides. Of the officers who responded, 92 per cent reported that ESA certification was the same as LEA certification practices.

Tenure of staff:

16. About 30 per cent of ESA administrators and supervisors were tenured in 1977-78, as were 36 per cent of the consultants and specialists, 43 per cent of the teachers and 6 per cent of the teacher aides. ESA tenure requirements were generally the same as for LEAs, according to 64 per cent of the respondents.

17. Approximately 52 per cent of the officers who responded said that staff tenure requirements had no impact on personnel decisions when services were added or dropped. Thirty per cent said there was some impact, and 12 per cent said the impact was extensive.

Collective bargaining:

18. Legislation governing collective bargaining covered 272 ESAs. It was required in 18 per cent of them, allowed in 54 per cent and prohibited in 28 per cent. Collective bargaining took place in 37 per cent of the ESAs in the study, and contracts were in place in 33 per cent.

19. Only 2 per cent of executive level administrators were covered by collective bargaining contracts, 7 per cent of them were middle management personnel, 12 per cent specialists and consultants, 32 per cent teaching staff, and 7 per cent clerical staff.

20. About 21 per cent of the executive officers responding said that collective negotiations had no impact on personnel decisions when services were added or dropped, 39 per cent said it had some impact, and 9 per cent said the impact was extensive.

Staff evaluations:

21. Of the responding executive officers, 86 per cent reported that ESA staff members were subject to required evaluations. They used fixed criteria in 54 per cent of the ESAs with such requirements.

Staff development within ESAs:

22. A substantial majority of the officers said their agencies had a staff development program for their own employees in 1977-78 (252 of 278). The majority estimated that less than 1 per cent of their total budget was spent on staff development. The expenditures were slightly higher in special district units.

Criteria in establishing salaries:

23. Different criteria were used by ESAs in establishing salary and other compensations. A majority of the units used several criteria, the most frequent being years experience in the ESA, highest degree or cumulative credit hours, years of experience in other institutions and length of the contract year.

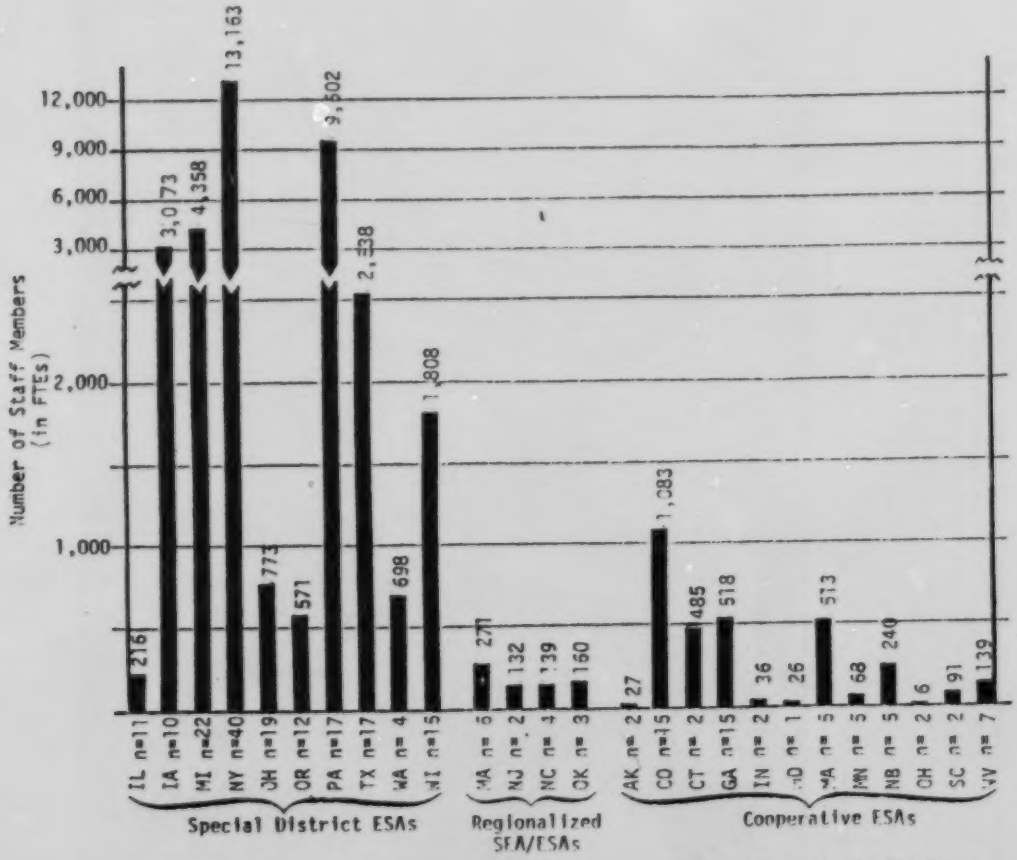
24. There were similarities between the salaries paid ESA staff and comparable salaries in LEAs. About 1/2 of the officers indicated their salaries were essentially the same as those of LEA executive officers. Comparable salaries are paid other staff in most cases.

TABLE 31 NUMBER AND PER CENT OF STAFF MEMBERS EMPLOYED BY ESA NETWORKS IN 1977-78

Type of ESA and State	Number of ESAs in State	Number of ESAs Participating in Study	Number of ESAs Responding	Total Number of Staff	Per Cent of Total Number of Staff
TYPE A: SPECIAL DISTRICT ESA					
1. Illinois	58	21	11	216	.5
2. Iowa	15	15	10	3,073	7.5
3. Michigan	58	24	22	4,358	10.7
4. New York	44	44	40	13,163	32.3
5. Ohio (COE)	87	21	19	773	1.9
6. Oregon	29	13	12	571	1.4
7. Pennsylvania	29	22	17	9,602	23.6
8. Texas	20	20	17	2,539	6.2
9. Washington	9	9	4	698	1.7
10. Wisconsin	19	19	15	1,808	4.4
Total	368	208	167	36,800	90.3
TYPE B: REGIONALIZED SEA/ESA					
1. Massachusetts (REC)	5	5	5	271.1	.6
2. New Jersey (ZIC)	4	4	2	132	.3
3. North Carolina	7	6	4	139	.3
4. Oklahoma	20	20	8	160	.4
Total	37	36	20	702	1.8
TYPE C: COOPERATIVE ESA					
1. Alaska	3	3	2	27	.07
2. Colorado	17	16	15	1,083	2.7
3. Connecticut	6	2	2	485	1.2
4. Georgia	16	16	15	518	1.3
5. Indiana	4	4	2	16	.39
6. Maryland	1	1	1	25	.06
7. Massachusetts (EC)	5	5	5	513	1.3
8. Minnesota	9	6	5	68.2	.2
9. Nebraska	19	5	5	240	.6
10. Ohio (RESA)	3	2	2	6	.01
11. South Carolina	3	2	-	91	.2
12. West Virginia	9	9	7	139	.3
Total	96	70	61	3,234	7.9
Total All ESAs	501	314	248	40,736	99.8

FIGURE 36

NUMBER OF STAFF MEMBERS EMPLOYED BY ALL ESA NETWORKS IN 1977-78



T=40,736

N=259 ESA Units of All Types

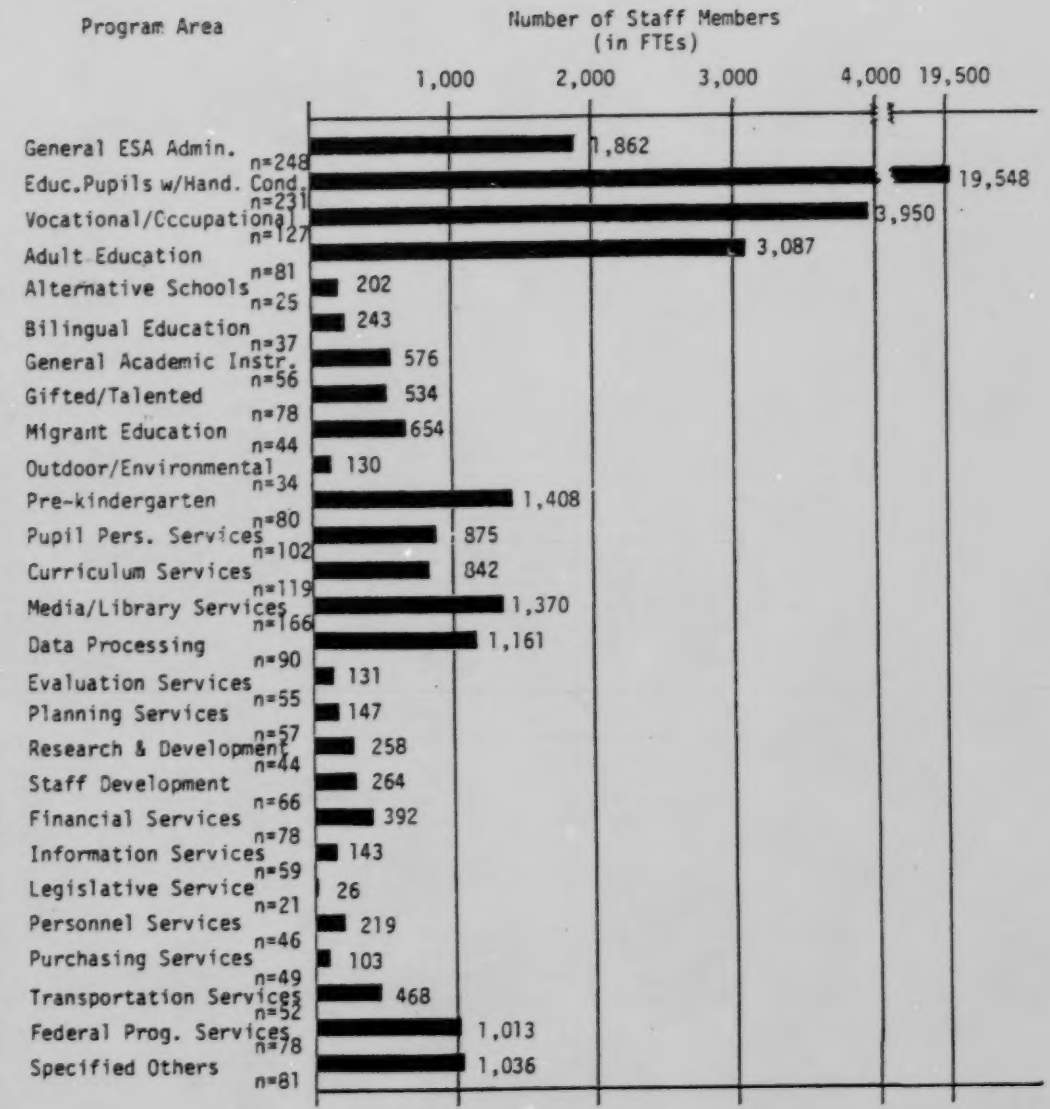


FIGURE 37

NUMBER OF STAFF MEMBERS EMPLOYED BY ALL ESA NETWORKS IN 1977-78, BY TWENTY-SEVEN PROGRAM AREAS (in FTEs)

T=40,633

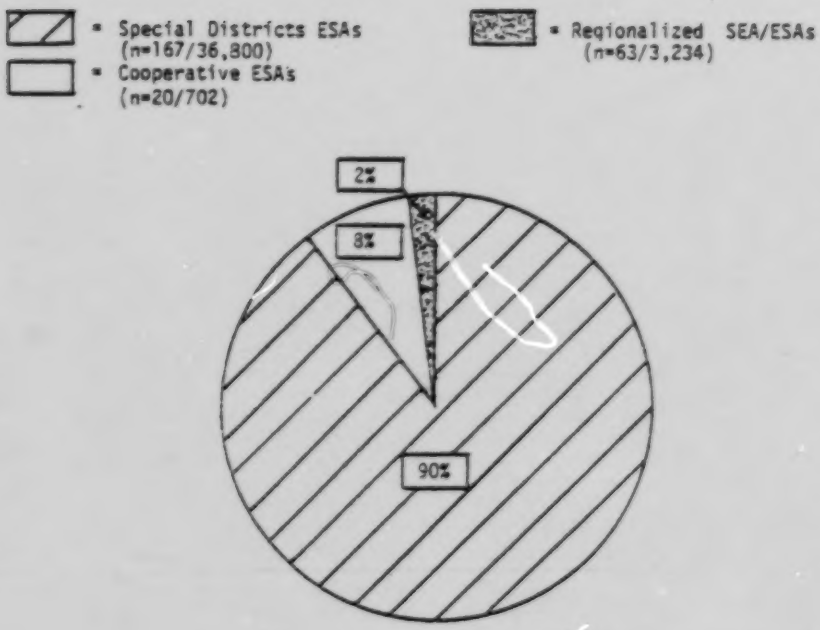
n=250 ESA Units of All Types

TABLE 32 - RANKING OF TOTAL NUMBER OF FULL-TIME EQUIVALENT STAFF MEMBERS ASSIGNED TO EACH PROGRAM AREA IN 1977-78, BY ALL ESA NETWORKS AND BY EACH TYPE OF ESA NETWORK

Program Area	All ESAs	Type of ESA Network		
		Special District ESAs	Regionalized SEA/ESA	Cooperative ESA
1. General ESA Administration	4	4	2	3
2. Education Pupils with	1	1	1	1
Handicapping Conditions	2	-	3	-
3. Vocational/Occupational	2	2	3	8
Education				
4. Adult Education	3	3	14	2
5. Alternative Schools	21	21	18	14
6. Bilingual Education	19	19	16	13
7. General Academic Instruction	13	13	4	18
8. Gifted/Talented	14	14	18	16
9. Migrant Education	12	12	17	4
10. Outdoor/Environmental	25	22	20	24
Education				
11. Pre-Kindergarten Education	5	6	20	10
12. Pupil Personnel Services	10	10	20	12
13. Curriculum Services	11	11	5	5
14. Media/Library Services	66	5	8	7
15. Data Processing	7	7	-	19
16. Evaluation Services	24	26	11	15
17. Planning Services	22	24	9	22
18. Research & Development	18	17	10	21
19. Staff Development	17	20	12	11
20. Financial Services	16	16	13	25
21 Information Services	23	23	15	23
22. Legislative Services	27	27	-	27
23. Personnel Services	20	18	-	26
24. Purchasing Services	26	25	-	20
25. Transportation	15	15	-	17
26. Federal Programs	9	9	7	6
27. Specified Other	8	8	6	9

FIGURE 38

DISTRIBUTION OF FULL TIME EQUIVALENT STAFF MEMBERS EMPLOYED BY RESPONDING ESAs, BY TYPE OF NETWORK, 1977-78



N=250 ESA Units of All Types

TABLE 33

NUMBER OF ESAs REPORTING JOINT APPOINTMENT, AGENCIES WITH WHICH JOINT APPOINTMENTS ARE MAINTAINED, AND NUMBER OF STAFF INVOLVED

Type of ESA and State	Number of ESAs in State	Number of ESAs Participating in Study	ESAs Jointly Employing Staff		Agencies with Which Joint Appointments are Maintained, Number of Staff Involved				
			Yes	No	Number of ESAs Resp.	Another ESA	Number of ESAs Resp.	ESA and LEA	Number of ESAs Resp.
TYPE A: SPECIAL DISTRICT ESA									
1. Illinois	58	21	1	12	-	-	1	98	-
2. Iowa	15	15	4	9	1	1	-	-	-
3. Michigan	58	24	4	15	2	7	2	1.5	1
4. New York	44	44	16	27	9	20.5	5	21	1
5. Ohio (COE)	87	21	7	14	3	3	7	7	-
6. Oregon	29	13	3	10	3	1.3	1	3	-
7. Pennsylvania	29	22	4	17	1	1	2	1.5	-
8. Texas	20	20	2	17	-	-	2	-	-
9. Washington	9	9	3	5	-	-	3	1.3	3
10. Wisconsin	19	19	2	17	1	1	-	-	-
Total	368	208	46	143	20	34.8	25	135.3	6
TYPE B: REGIONALIZED SEA/ESA									
1. Massachusetts (REC)	6	6	-	6	-	-	-	-	-
2. New Jersey (EIC)	4	4	1	3	-	-	1	1	1
3. North Carolina	7	6	1	-	-	-	-	-	-
4. Oklahoma	20	20	-	20	-	-	-	-	-
Total	37	36	2	29	-	-	1	1	2
TYPE C: COOPERATIVE ESA									
1. Alaska	5	3	1	2	-	-	-	-	-
2. Colorado	17	16	3	13	-	-	-	-	-
3. Connecticut	6	2	-	2	-	-	-	-	-
4. Georgia	16	15	4	12	3	3	3	3	-
5. Indiana	4	4	-	4	-	-	-	-	-
6. Maryland	1	1	1	-	-	-	1	2	1
7. Massachusetts (EC)	5	5	3	-	-	-	-	-	-
8. Minnesota	9	6	2	-	-	-	-	-	-
9. Nebraska	19	5	1	4	-	-	1	1	-
10. Ohio (RESA)	3	2	-	2	-	-	-	-	-
11. South Carolina	3	2	-	-	-	-	-	-	-
12. West Virginia	8	8	2	6	-	-	2	3.5	-
Total	96	70	17	45	3	3	7	9.5	1
Total All ESAs	501	314	65	217	23	37.8	33	145.8	9

TABLE 34

NUMBER OF ESA STAFF MEMBERS COVERED BY CERTIFICATION REQUIREMENTS, NUMBER OF STAFF POSITIONS THAT ARE TENURED, AND PERCEPTIONS OF ESA EXECUTIVE OFFICERS ON IMPACT OF STATE TENURE LAWS

Type of ESA and State	Number of ESAs in State	Number of ESAs Participating in Study	Certification Required: Administrator Supervisor		Consultant Specialist		Teachers		Teacher-Aides	
			Generally Yes	Generally No	Generally Yes	Generally No	Generally Yes	Generally No	Generally Yes	Generally No
TYPE A: SPECIAL DISTRICT ESA										
1. Illinois	58	21	14	7	7	14	5	16	4	1
2. Iowa	15	15	15	-	15	-	15	-	2	11
3. Michigan	58	24	17	1	16	2	18	-	1	17
4. New York	44	44	43	-	34	7	43	-	7	34
5. Ohio (COE)	87	21	20	-	20	-	18	-	14	2
6. Oregon	29	13	13	-	13	-	13	-	-	13
7. Pennsylvania	29	22	22	-	22	-	22	-	-	22
8. Texas	20	20	15	3	15	3	13	-	3	9
9. Washington	9	9	4	5	7	2	5	1	3	6
10. Wisconsin	19	19	19	-	19	-	19	-	14	4
Total	368	208	179	16	163	28	168	17	45	116
TYPE B: REGIONALIZED SEA/ESA										
1. Massachusetts (REC)	6	6	3	3	3	3	-	-	-	-
2. New Jersey (ZIC)	4	4	3	1	2	2	1	1	0	2
3. North Carolina	7	6	4	-	4	-	1	-	-	-
4. Oklahoma	20	20	20	-	20	-	13	-	2	1
Total	37	36	30	4	29	5	15	1	2	3
TYPE C: COOPERATIVE ESA										
1. Alaska	5	3	2	1	1	1	2	1	-	3
2. Colorado	17	16	16	-	14	1	14	-	-	14
3. Connecticut	5	2	2	-	1	1	1	-	-	2
4. Georgia	16	16	13	-	13	-	9	-	7	1
5. Indiana	4	4	3	-	3	-	3	-	-	3
6. Maryland	1	1	-	1	1	-	1	-	-	1
7. Massachusetts (EC)	5	5	4	-	4	-	3	-	1	-
8. Minnesota	9	6	3	-	4	-	4	-	1	4
9. Nebraska	19	5	5	-	4	1	4	-	1	3
10. Ohio (RESA)	3	2	2	-	1	-	-	-	-	-
11. South Carolina	3	2	1	-	1	-	-	-	-	-
12. West Virginia	8	8	6	1	7	1	5	3	-	3
Total	96	70	57	3	55	5	47	4	10	34
Total All ESAs	501	314	266	23	249	38	230	22	57	153

TABLE 34 (continued)

Type of ESA and State	ESA Certification Requirements Same as LEAs		Tenure Positions							
			Administrator/ Supervisor		Consultant/ Specialist		Teacher		Teacher Aides	
	Yes	No	Generally Yes	Generally No	Generally Yes	Generally No	Generally Yes	Generally No	Generally Yes	Generally No
TYPE A: SPECIAL DISTRICT ESA										
1. Illinois	12	1	1	11	2	5	1	4	-	5
2. Iowa	15	-	5	8	12	2	12	2	2	11
3. Michigan	19	-	-	18	12	7	21	3	-	17
4. New York	43	-	44	-	27	9	43	-	9	32
5. Ohio (COE)	20	-	-	21	-	21	2	16	4	12
6. Oregon	10	-	2	10	11	1	11	-	-	11
7. Pennsylvania	21	1	13	10	16	5	21	1	-	22
8. Texas	17	1	1	18	2	17	2	13	2	15
9. Washington	8	1	4	5	5	4	4	2	-	5
10. Wisconsin	18	-	1	18	1	18	1	18	1	17
Total	183	4	71	119	98	89	118	61	18	147
TYPE B: REGIONALIZED SEA/ESA										
1. Massachusetts (REC)	-	5	-	5	-	5	-	-	-	-
2. New Jersey (EIC)	3	1	-	4	-	4	-	1	-	1
3. North Carolina	3	-	1	3	2	3	-	1	-	-
4. Oklahoma	20	-	-	19	-	18	-	5	-	4
Total	26	6	1	31	2	30	-	7	-	5
TYPE C: COOPERATIVE ESA										
1. Alaska	2	-	-	2	-	2	-	2	-	2
2. Colorado	15	-	-	16	1	15	1	14	-	14
3. Connecticut	2	-	2	-	1	1	2	-	-	2
4. Georgia	14	-	12	4	12	4	7	3	2	9
5. Indiana	2	1	1	3	2	2	1	2	-	3
6. Maryland	-	1	-	1	-	1	-	1	-	1
7. Massachusetts (EC)	3	-	1	-	1	-	1	-	-	-
8. Minnesota	4	-	3	3	3	1	2	1	-	3
9. Nebraska	5	-	1	4	2	3	1	4	-	4
10. Ohio (RESA)	2	-	1	1	1	1	-	-	-	-
11. South Carolina	1	-	-	1	-	1	-	-	-	-
12. West Virginia	7	-	-	7	-	6	1	2	-	1
Total	58	2	21	42	23	37	16	29	2	39
Total All ESAs	267	12	93	192	113	154	134	97	20	191

TABLE 34 (continued)

Type of ESA and STATE	ESA Tenure Requirements Same as LEAs		Perceptions of Impact of State Tenure Requirements on Personnel Decisions when Services Dropped or Added			
	Yes	No	None	Somewhat	Extensive	Uncertain
TYPE A: SPECIAL DISTRICT ESA						
1. Illinois	2	8	8	-	1	-
2. Iowa	13	-	3	8	1	3
3. Michigan	19	-	4	10	4	-
4. New York	43	-	4	23	15	1
5. Ohio (COE)	9	11	13	6	1	-
6. Oregon	10	-	-	4	3	3
7. Pennsylvania	21	1	4	14	4	-
8. Texas	9	8	17	-	-	-
9. Washington	7	2	3	4	1	1
10. Wisconsin	16	1	17	-	-	-
Total	149	33	73	59	30	8
TYPE B: REGIONALIZED SEA/ESA						
1. Massachusetts (REC)	1	5	3	-	1	-
2. New Jersey (EIC)	-	4	3	-	-	1
3. North Carolina	1	3	4	-	-	1
4. Oklahoma	20	-	20	-	-	-
Total	22	13	31	-	1	2
TYPE C: COOPERATIVE ESA						
1. Alaska	-	3	3	-	-	-
2. Colorado	2	14	11	4	-	1
3. Connecticut	2	-	1	1	-	-
4. Georgia	13	1	6	5	-	2
5. Indiana	1	2	1	1	-	1
6. Maryland	-	1	1	-	-	-
7. Massachusetts (EC)	-	4	2	1	-	-
8. Minnesota	4	-	2	-	1	2
9. Nebraska	5	-	2	2	1	-
10. Ohio (RESA)	2	-	2	-	-	-
11. South Carolina	1	-	1	-	-	-
12. West Virginia	-	7	5	-	-	1
Total	30	32	37	14	2	7
Total All ESAs	201	78	142	83	33	17

TABLE 35 CATEGORIES OF ESA STAFF COVERED BY COLLECTIVE BARGAINING CONTRACTS AND PERCEPTIONS OF EXECUTIVE OFFICERS OF IMPACT OF BARGAINING ON PERSONNEL DECISIONS WHEN SERVICES DROPPED OR ADDED

Type of ESA and State	Number of ESAs in State	Number Participating in Study	Categories of Staff Covered by Collective Bargaining Contracts 1977–78: Executive Level Administrator	Middle Management	Consultant/ Specialist	Teaching Staff	Classroom Staff	Perceptions of Impact of Collective Bargaining on Personnel Decisions When Services Dropped or Added (none, somewhat, extensive, uncertain
TYPE A: SPECIAL DISTRICT ESA								
1. Illinois	58	21	-	-	-	-	-	
2. Iowa	15	15	-	1	9	10	4	generally none
3. Michigan	58	24	2	2	8	17	9	generally some
4. New York	44	44	-	8	3	40	24	generally some
5. Ohio (COE)	37	21	-	-	-	-	-	
6. Oregon	29	13	-	3	5	6	5	generally none
7. Pennsylvania	29	22	-	1	3	21	9	generally none
8. Texas	20	20	-	-	-	-	-	
9. Washington	9	9	1	2	2	1	2	generally none
10. Wisconsin	19	19	-	-	-	3	1	generally some
Total	368	208	3	18	31	98	51	
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	6	6	2	2	2	-	1	generally some
2. New Jersey (EIC)	4	4	-	-	-	-	-	
3. North Carolina	7	6	-	-	-	-	-	
4. Oklahoma	20	20	-	-	-	-	-	
Total	37	36	2	4	4	-	1	
TYPE C: COOPERATIVE ESA								
1. Alaska	3	3	-	-	-	-	-	generally none
2. Colorado	17	16	1	-	-	-	-	
3. Connecticut	6	2	-	-	-	-	-	
4. Georgia	16	16	-	-	-	-	-	
5. Indiana	4	4	-	-	-	-	-	
6. Maryland	1	1	-	-	-	-	-	
7. Massachusetts (EC)	5	5	-	-	-	-	-	
8. Minnesota	9	6	-	-	-	-	-	
9. Nebraska	19	3	1	1	2	1	2	generally none
10. Ohio (RESA)	3	2	-	-	-	-	-	
11. South Carolina	3	2	-	-	-	-	-	
12. West Virginia	8	8	-	-	-	-	-	
Total	96	70	2	1	2	1	2	
Total All ESAs	501	314	7	23	37	99	54	

TABLE 36 NUMBER OF ESAs HAVING STAFF DEVELOPMENT PROGRAMS AND ESTIMATED EXPENDITURES FOR ACTIVITIES

TYPE of ESA and State	Number of ESAs in State	Number of ESAs Participating in Study	Existence of Staff Development Program		Estimated Expenditures for Staff Development as a Per Cent of Annual Budget				
			Yes	No	0-1	2-3	4-5	6-7	8-9
TYPE A: SPECIAL DISTRICT ESA									
1. Illinois	58	21	6	7	3	1	-	-	1
2. Iowa	15	15	12	1	10	2	2	-	-
3. Michigan	58	24	17	1	7	9	1	-	-
4. New York	44	44	42	1	34	5	1	-	1
5. Ohio (COE)	87	21	19	1	7	10	1	-	-
6. Oregon	29	13	10	-	6	3	1	-	-
7. Pennsylvania	29	22	22	-	12	6	3	1	-
8. Texas	20	20	18	-	5	6	6	-	-
9. Washington	9	9	8	1	6	1	-	-	-
10. Wisconsin	19	19	18	1	5	7	5	-	-
Total	368	208	172	13	95	50	20	1	2
TYPE B: REGIONALIZED SEA/ESA									
1. Massachusetts (REC)	6	6	6	-	3	2	1	-	-
2. New Jersey (ESC)	4	4	4	-	2	1	-	-	-
3. North Carolina	7	6	1	-	4	1	-	-	-
4. Oklahoma	20	20	20	-	20	-	-	-	-
Total	37	36	31	-	29	4	2	-	-
TYPE C: COOPERATIVE ESA									
1. Alaska	3	3	3	-	1	1	1	-	-
2. Colorado	17	16	12	3	4	5	-	-	-
3. Connecticut	6	2	2	-	-	2	-	-	-
4. Georgia	16	16	13	-	7	6	-	-	-
5. Indiana	4	4	1	2	-	-	-	-	-
6. Maryland	1	1	1	-	-	1	-	-	-
7. Massachusetts (EC)	5	5	5	-	1	-	-	-	-
8. Minnesota	9	6	3	2	-	1	1	-	-
9. Nebraska	19	5	5	-	2	1	1	-	-
10. Ohio (RESA)	3	2	2	-	1	1	-	-	-
11. South Carolina	3	2	1	-	-	1	-	-	-
12. West Virginia	8	8	1	6	1	-	-	-	-
Total	96	70	49	13	20	21	3	-	-
Total All ESAs	501	314	252	26	144	75	28	1	2

TABLE 37 NUMBER OF ESAs USING SELECTED WRITTEN CRITERIA IN ESTABLISHING STAFF SALARIES AND OTHER COMPENSATORY PRACTICES

TYPE of ESA and STATE	Number of ESAs in State	Number of ESAs Participating in Study	Written Criteria Used								
			Highest Degree or Cumulative Credit Hours	Years of Experience this ESA	Years of Experience/Other Education	Number of Dependents	Length of Control Year	Number of Employees Supervised	As a Per Cent of Salary of		
									Immediate Supervisor	Comparable LEA Staff	Comparable Post-Secondary Staff
TYPE A: SPECIAL DISTRICT ESA											
1. Illinois	58	21	2	3	3	-	2	-	-	-	1
2. Iowa	15	15	14	15	13	-	14	5	1	-	-
3. Michigan	58	24	17	17	15	-	15	6	-	1	-
4. New York	44	44	41	41	38	1	26	8	-	5	-
5. Ohio (COE)	87	21	13	13	16	-	13	-	-	1	-
6. Oregon	19	13	9	8	9	-	8	1	-	-	-
7. Pennsylvania	29	22	21	20	15	-	13	5	2	3	-
8. Texas	20	20	15	15	14	-	12	6	1	1	-
9. Washington	9	9	6	7	7	-	7	2	-	-	-
10. Wisconsin	19	19	18	18	19	1	18	4	-	9	-
Total	368	208	161	157	149	2	128	38	4	20	1
TYPE B: REGIONALIZED SEA/ESA											
1. Massachusetts (REC)	6	6	3	4	5	1	-	2	-	-	-
2. New Jersey (ZIC)	4	4	1	2	2	-	-	-	-	-	-
3. North Carolina	7	6	1	2	2	-	-	2	-	-	-
4. Oklahoma	20	20	1	19	-	-	20	-	-	-	-
Total	37	36	6	27	9	1	20	4	-	-	-
TYPE C: COOPERATIVE ESA											
1. Alaska	5	3	2	1	3	-	1	1	-	2	-
2. Colorado	17	16	12	13	12	-	11	3	-	3	1
3. Connecticut	6	2	2	2	2	-	2	-	-	1	-
4. Georgia	16	16	13	11	11	-	11	3	-	1	-
5. Indiana	4	4	1	-	-	-	-	-	-	-	-
6. Maryland	1	1	1	1	1	-	-	-	-	-	-
7. Massachusetts (ZC)	5	5	4	4	4	-	4	3	-	2	-
8. Minnesota	9	6	3	3	3	-	3	2	-	1	-
9. Nebraska	19	5	3	3	3	-	1	-	-	-	-
10. Ohio (RESA)	3	2	2	-	2	-	2	-	-	-	-
11. South Carolina	3	2	-	-	-	-	-	-	-	-	-
12. West Virginia	8	8	5	6	4	-	4	-	-	1	-
Total	96	70	48	44	45	1	38	12	-	12	1
Total All ESAs	501	314	215	228	202	4	186	54	4	32	2

TABLE 38 NUMBER OF DAYS IN CONTRACT PERIOD

Type of ESA and State	Number of ESAs in State	Number Participating in Study	Number of Days[a]				
			Administrators/ Supervisors	Consultant/ Specialist	Teachers	Teacher Aides	Classified Staff
TYPE A: SPECIAL DISTRICT ESA							
1. Illinois	58	21	3	3	1	1	3
2. Iowa	15	15	3	2	1	1	3
3. Michigan	58	24	3	1	1	1	3
4. New York	44	44	3	1	1	1	3
5. Ohio (COE)	87	21	3	2	1	1	3
6. Oregon	29	13	3	2	1	1	3
7. Pennsylvania	29	22	3	3	1	1	3
8. Texas	20	20	3	3	1	1	3
9. Washington	9	9	3	2	1	1	3
10. Wisconsin	19	19	3	2	1	1	3
Total	368	208					
TYPE B: REGIONALIZED SEA/ESA							
1. Massachusetts (REC)	6	6	3	3	-	-	3
2. New Jersey (ZIC)	4	4	3	3	1	-	3
3. North Carolina	7	6	3	3	-	-	-
4. Oklahoma	20	20	3	3	-	-	3
Total	37	36					
TYPE C: COOPERATIVE ESA							
1. Alaska	5	3	2	2	-	1	2
2. Colorado	17	16	3	2	1	1	3
3. Connecticut	6	2	3	2	1	1	3
4. Georgia	16	16	3	2	1	2	3
5. Indiana	4	4	3	3	1	1	-
6. Maryland	1	1	2	2	1	1	2
7. Massachusetts (EC)	5	5	3	1	3	2	3
8. Minnesota	9	6	3	2	1	1	3
9. Nebraska	19	5	3	2	-	1	3
10. Ohio (RESA)	3	2	3	3	-	-	-
11. South Carolina	3	2	3	3	-	-	-
12. West Virginia	8	8	3	3	2	3	3
Total	96	70					
Total All ESAs	501	314					

Note(s):

a) 1. Generally 180-190 days annually.
2. Generally 190-220 days annually.
3. Generally 220 days or more annually.

CHAPTER NINE

SELECTED PHYSICAL FACILITY CHARACTERISTICS

I. INTRODUCTION

This chapter presents selected characteristics of the physical facilities of the ESA units, including:

1. The legal basis, how acquired, authorization requirements and sources of funding for ESA facilities;

2. The location of central ESA facilities and satellites; and,

3. The perceptions of ESA executive officers as to the adequacy of their facilities.

II. LEGAL BASIS, AUTHORIZATION REQUIREMENTS AND SOURCE OF FUNDING FOR THE ACQUISITION OF FACILITIES AND THE USE OF RENT-FREE SPACE

Eight project coordinators reported that special district networks have the authority to own facilities and 3 do not -- Illinois, Pennsylvania and Wisconsin. (See Table 39) All responses on the question of acquisition said that ESAs could purchase facilities. Additionally, 5 states permit construction, and gifts or grants are permitted in 4 states. Funding sources vary. Single sources are available in 4 states -- counties provide ESA facilities in Illinois, regional taxes finance them in Iowa and Michigan, and the state provides funding in Washington. New York, Ohio and Oregon report joint funding by LEAs, state and federal sources. California adds county funding.

In the regionalized networks, one provides for ESA ownership -- New Jersey EICs may purchase facilities or receive them through a gift or grant. The EIC must have board approval, and the facilities are financed through combinations of local, state and federal funding.

Most states with cooperative networks permit ownership of facilities, except for Colorado, Georgia, Massachusetts, Rhode Island and South Carolina. Six states allow for construction or purchase or gifts and grants -- Alaska, Connecticut, Indiana, Maryland, Ohio and West Virginia. Nebraska doesn't allow gifts or grants, and Minnesota does not permit construction. Only ESA board approval is needed for acquisition in Alaska, Maryland, Nebraska and West Virginia; Minnesota requires ESA board and SEA approval, and Indiana adds state funding agency approval. Connecticut requires acquisitions to be authorized by a referenda in the LEAs -- voters in a majority of the LEAs served must approve -- and approval by a state funding agency other than the SEA and by a local regional funding agency. Alaska has no provisions for funding, and West Virginia reports that funding is not specified. In other states, the sources are varied. Indiana and Nebraska use local funds. Connecticut uses local and state funding, and Minnesota, Maryland and Ohio use combinations of local, state and federal funding.

Facilities may be rented or leased in all 11 states with special district ESAs. All states require ESA board approval, and 5 require state-level approval also. There are no restrictions to rent and/or lease agreements in New York, Ohio and Wisconsin, according to state project coordinators. Texas only specifies that contracts may be annual; those in Washington may not exceed 10 years. In Iowa, ESAs must rent or lease from LEAs if suitable facilities are available. Rental or leasing from another public agency is required in Illinois. California, New York and Pennsylvania require minimum SEA facility standards. As for funding sources, facilities are paid for by a local tax levy in Oregon, from an ESA regional tax in Michigan and from the state in Washington. Other states have multiple sources.

In the regionalized networks, New Jersey CSSs may neither rent nor own facilities -- they are provided by the county governments. All other regionalized ESAs may rent or lease facilities. Board approval is required for the New Jersey EICs. Oklahoma and Ohio units must have SEA approval, those in Massachusetts must be approved by the SEA, governor and legislature; and North Carolina must have the approval of the SEA and another state agency. Annual contracts only are permitted in Oklahoma and the New Jersey EICs (in the latter these are multiple-year leases with escape clauses.) North Carolina restricts leases to 5 years and sets SEA minimum facility requirements. Massachusetts restricts leases to 5 years with the maximum cost specified by another public agency, and its facilities must meet minimum standards of the SEA and local zoning standards. Funding patterns for rented or leased space vary. Oklahoma uses state financing, Ohio SERRC use federal funds, Massachusetts combines state and federal, and New Jersey EICs add LEA funds.

In the cooperative networks, leasing and/or rental is permitted in all states with no authorizations required in Alaska and only board approval is needed in Georgia, Indiana, Maryland, Minnesota, South Carolina and West Virginia. Most of the states have no restricts on renting or leasing. The exceptions are Rhode Island, where the lease agreement must be negotiated by the SEA; and contracts in West Virginia, Massachusetts and South Carolina are limited to 1 year. Funding sources vary: Colorado and South Carolina are funded by LEAs; Nebraska is funded by LEAs and an ESA regional tax; Connecticut and Alaska are funded by LEAs and state funds; Indiana, Massachusetts, Minnesota, Maryland and West Virginia are funded by combinations of LEA, state and federal funds; and Ohio and Rhode Island are financed by state and federal funds.

About one-third of the special district executive officers responding reported provisions for rent-free facilities. LEAs provide one-third and county governments provide the remainder. LEAs are the primary source in Pennsylvania, and counties are the source in Illinois, Ohio and Washington. Both sources provide rent-free space in the rest of the states, although the number of ESAs with free rent is not large.

In the regionalized systems, one-half of the New Jersey EICs reported rent-free facilities from LEAs. Few other networks reported provisions for rent-free facilities.

Almost one-third of the cooperative unit officers in the study reported provisions for rent-free facilities.

III. LOCATION OF ESA PHYSICAL FACILITIES AND SATELLITE CENTERS

One ESA central facility exists in about one-third of the special district units reporting, including a majority in California, Ohio and Texas. One-third reported using an ESA central facility with satellite centers and ESA-operated classrooms in LEA buildings in the majority of units in New York and Pennsylvania. A majority of the rest of the special district units reported the use of an ESA central facility with satellite centers that did not include classrooms for instruction in LEA buildings. Most Iowa and Washington officers who responded reported this type.

In the regionalized networks, about two-thirds of the officers in the study, including most of Massachusetts, North Carolina and Oklahoma, reported the use of one central facility only. Most New Jersey EICs and a few Oklahoma units reported the use of an ESA central facility with satellite centers excluding classrooms for instruction in LEA buildings.

Nearly half of the participating cooperative units, including most in Alaska, Colorado, Indiana, Minnesota and West Virginia, reported using 1 central facility only.

How may ESAs have satellite centers and why? In the special districts, about one-half of the participating units reported the use of satellite centers, with 3 as the average. (See Figure 39). Higher average numbers were reported for Iowa, Michigan, Oregon and Pennsylvania. The primary reason reported was accessibility for clients. Others were efficiency and inability to find an adequate central facility. Response frequencies were as follows: accessibility for clients, 204; promote efficiency, 100; inability to secure adequate central facility, 93.

In the regionalized networks, all New Jersey EICs, 1 North Carolina and 2 Oklahoma units reported 1 satellite center. One Massachusetts unit has 6 satellites. Virtually all units said accessibility for clients was the main reason for the satellite centers.

About one-third of the cooperative units pariticpating reported the use of satellite centers, with an average of 3. None were reported in Alaska or South Carolina. A higher average number were reported for Connecticut and Ohio. The primary reason for the centers was accessibility for clients; also mentioned frequently was efficiency.

IV. REASONS GIVEN FOR ESA FACILITIES JUDGED INADEQUATE

Most ESA executive officers were satisfied with their facilities. In the special districts, most officers reporting in 8 states (Illinois, Michigan,

New York, Ohio, Oregon, Pennsylvania, Texas and Washington) were satisfied. Those reporting poor facilities most frequently cited lack of enabling legislation to acquire facilities and inadequate funding as the reasons. Cited nearly as frequently were lack of state support, lack of resources, lack of opportunities for long-range planning and inability to keep pace with increases in service.

Few Officers of regionalized units judged their facility to be poor. Those who did cited inadquate funding and inability to keep pace with service needs.

Also, few participating cooperative unit officers found their facilities to be poor. Inadequate funding was cited most often as the reason for poor facilities, as well as lack of state support, inability to keep pace with service requirements, lack of resources and opportunities in making long-range plans.

V. SUMMARY OF MAJOR FINDINGS

Ownership, Lease and Rental Facilities:

1. ESAs in 17 networks in 1977-78 had authority to own facilities; 13 did not. About two-thirds of the special district and cooperative units could own space, but most of the regionalized networks did not have authority.

2. State, LEA and federal monies were the sources of funding for facilities in most cases. Infrequently used were regional taxes.

3. Few networks had restrictions on being able to rent or lease space. The most frequent restriction was on the length of the contract period.

4. Almost one-third of the units had rent-free space, with county governments providing 69 per cent of the facilities in the special districts which reported using such space. LEAs provided the remainder of rent-free space. They also were the source of rent-free space for the 20 cooperatives housed in such facilities.

The Use of and Reasons for Satellite Centers:

5. Of the ESAs participating in the study, 44 per cent operate 1 or more satellite centers (a total of 463 satellites.) They were maintained by 51 per cent of the special districts, 33 per cent of the cooperative units, and 22 per cent of the regionalized units.

6. The most frequently cited reasons for the satellite centers, according to the officers, was accessibility to clients. Other important reasons were efficiency and the inability to secure an adequate central facility.

If Facilities Were Judged as Poor:

7. While most units were satisfied with their facilities, many officers cited multiple reasons why they judged their space to be poor. The most frequently mentioned were inadequate funding sources and lack of enabling legislation to acquire better facilities.

TABLE 39

NUMBER OF ESA NETWORKS HAVING AUTHORITY TO OWN PHYSICAL FACILITIES, METHOD OF ACQUISITION, AUTHORIZATION REQUIRED, AND SOURCE OF FUNDING

Type of ESA and State	Authority To Own Physical Facilities		Method of Acquisition			Approved by			
	Yes	No	Gift or Grant	Purchase	Construction	Of Public in ESA Area	Of Public in LEAs served	Majority of LEA Board Members	Resolutions of Majority LEA Bds.
TYPE A: SPECIAL DISTRICT ESA									
1. California	X	-	X	X	X	-	-	-	-
2. Illinois	-	X	-	-	-	-	-	-	-
3. Iowa	X	-	X	X	-	X	-	-	-
4. Michigan	X	-	X	X	X	X	-	-	-
5. New York	X	-	X	X	X	X	-	-	-
6. Ohio (COE)	X	-	-	X	X	-	-	X	-
7. Oregon	X	-	-	-	-	-	-	-	-
8. Pennsylvania	-	X	-	-	-	-	-	-	-
9. Texas	X	-	-	-	-	-	-	-	-
10. Washington	X	-	-	X	X	-	-	-	-
11. Wisconsin	-	X	-	-	-	-	-	-	-
Total	8	3	4	6	5	3	-	1	-
TYPE B: REGIONALIZED SEA/ESA									
1. Massachusetts (REC)	-	X	-	-	-	-	-	-	-
2. New Jersey (EIC)	X	-	X	X	-	-	-	-	-
3. New Jersey (CSS)	-	X	-	-	-	-	-	-	-
4. Ohio (FSAC)	-	X	-	-	-	-	-	-	-
5. Ohio (SERRC)	-	X	-	-	-	-	-	-	-
6. North Carolina	-	X	-	-	-	-	-	-	-
7. Oklahoma	-	X	-	-	-	-	-	-	-
Total	1	6	1	1	-	-	-	-	-
TYPE C: COOPERATIVE ESA									
1. Alaska	X	-	X	X	X	-	-	-	-
2. Colorado	-	X	-	-	-	-	-	-	-
3. Connecticut	X	-	X	X	X	-	X	-	-
4. Georgia	-	X	-	-	-	-	-	-	-
5. Indiana	X	-	X	X	X	-	-	-	-
6. Maryland	X	-	X	X	X	-	-	-	-
7. Massachusetts (EC)	-	X	-	-	-	-	-	-	-
8. Minnesota	X	-	X	X	-	-	-	-	-
9. Nebraska	X	-	-	X	X	-	-	-	-
10. Ohio (RESA)	X	-	X	-	-	-	-	-	-
11. Rhode Island	-	X	-	-	-	-	-	-	-
12. South Carolina	-	X	-	-	-	-	-	-	-
13. West Virginia	X	-	X	X	X	-	-	-	-
Total	8	5	7	7	6	-	1	-	-
Total All ESAs	17	14	12	14	11	3	1	1	-

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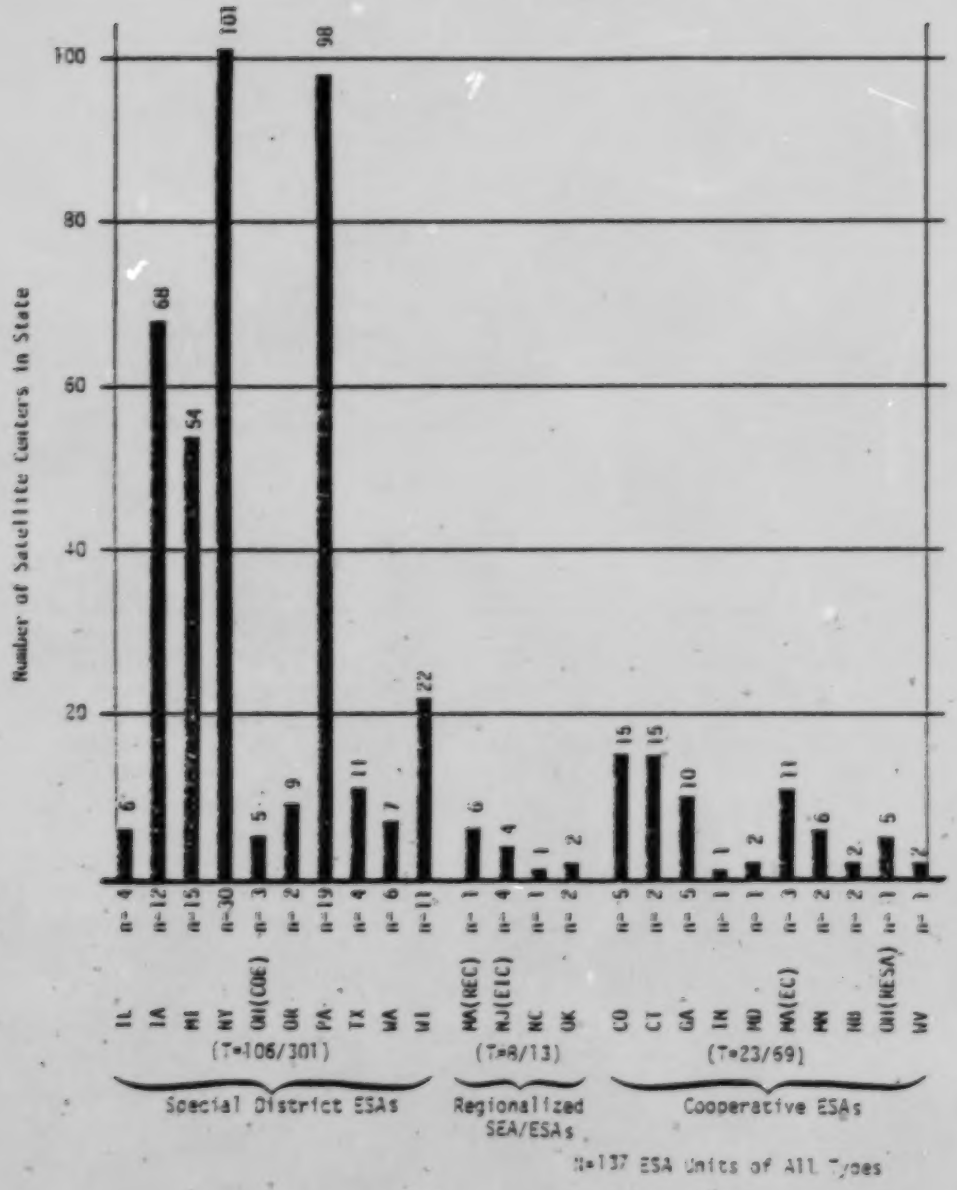
FIGURE 39

NUMBER OF SATELLITE CENTERS MAINTAINED BY ESA NETWORKS IN 1977-78 BY TYPE OF NETWORK



CHAPTER TEN

SELECTED CHARACTERISTICS OF RELATIONSHIPS BETWEEN STATE EDUCATION AGENCIES AND EDUCATION SERVICE AGENCIES

I. INTRODUCTION

As the educational service agencies have grown, so have direct responsibilities and communications with state education agencies. And there also has been a shift of responsibilities from the state to the ESA level. This chapter looks at:

1. The organization and leadership of the SEA unit with primary responsibility for ESAs;
2. Contracts between the SEA and ESas;
3. How SEA and ESA officials communicate and collaborate;
4. Involvement of ESAs in state regulatory systems for LEAs;
5. Networks with formal evaluation requirements;
6. Networks with planning requirements;
7. Networks with requirements for grouping programs among ESA units;
8. State-developed criteria for allocating functions to ESAs; and,
9. Changes in SEA functions because of ESAs.

II. SELECTED CHARACTERISTICS OF SEA OFFICE WITH PRIMARY RESPONSIBILITY FOR ESAs

In 7 of the 11 special district networks, state project coordinators reported that 1 SEA unit or office has primary responsibility for SEA-ESA relations (See Table 40.) There is no such concentration in California, Michigan, and Washington. In Ohio and Oregon, the unit is headed by an executive-level position; in New York, Texas and Wisconsin, the head is at the middle management level; and in Illinois and Pennsylvania, the head is at the specialist level.

In all regionalized networks, one SEA unit or office has primary responsibility for SEA-ESA relations. The unit is headed at the executive level in New Jersey CSSs, North Carolina and Ohio, and at the middle management level in Massachusetts, New Jersey EICs, Ohio FSACs and Oklahoma.

In 9 of the states with cooperative networks, a single SEA unit or office has primary responsibility for SEA-ESA relations. Maryland and West Virginia report no single office, and there is no reported SEA-ESA interaction in South Carolina. Leadership is at the executive level in Colorado and Rhode Island, at the middle management level in Alaska, Indiana, Massachusetts, Minnesota and Ohio, and at the specialist level in Nebraska.

Only Texas and Ohio SEA unit or office heads devoted full-time to ESA responsibilities for the special district networks, according to state project coordinators. In New York and Wisconsin, they gave 80 per cent of their time to ESA responsibilities. Other percentages reported were Pennsylvania, 60 per cent; and Illinois, 10 to 19 per cent.

The SEA unit responsible for special district ESAs has regular major responsibilities for other matters in 5 states (See Table 41.) In 2, the SEA office devotes 90 per cent of the time to ESAs. The remaining time in New York was for reorganization of small districts, and in Wisconsin, to the State Sppeal Board. The SEA office in Pennsylvania devoted two-thirds of its time to ESAs and the remaining time to relationships with urban superintendents and special assignments. In Illinois, the ESA assignment takes up less than 20 per cent of the time, with the remainder for school facilities and organization and health and life safety.

In the regionalized systems, ESA responsibilities account for most of the time of the SEA unit head in 4 networks. Those with near full-time responsibilities are the Massachusetts, New Jersey EIC, Ohio FASC and Oklahoma networks. The Ohio SERRC and North Carolina unit heads devote about half-time to ESAs, and the New Jersey CSSs unit head at the SEA spent only about 15 per cent on the ESAs. In 4 networks, the SEA unit had other major responsibilities. In Massachusetts, where ESA duties take up 75 per cent of the time, the remainder is devoted to liaisons with professional associations, the Office of Education and administration of regulations and statutes. The New Jersey CSS share time at the SEA unit level with other divisions and equal opportunity activities.

In the cooperative networks, SEA unit heads in Indiana and Ohio RESAs were full-time for ESAs. In all other networks with an SEA unit, the head spends less than 40 per cent of his time on ESA responsibilities. The lowest was Nebraska, where less than 10 per cent of the time is spent on ESAs.

Few of the heads of the state SEA units were reported to have had experience with an ESA. In the special districts states, those with an office reported that the head of the unit or office had prior administrative experience at the LEA level. Ohio and Wisconsin SEA unit heads had prior experience as ESA administrators. In Illinois, Oregon and New York, the SEA unit had had prior experience with the SEA.

In the regionalized systems, the SEA unit head had prior experience as an SEA administrator in Massachusetts, New Jersey CSS, Ohio, North Carolina and Oklahoma. No prior ESA experience was reported for any of these systems. Prior LEA administrator experience was reported in Massachusetts and North Carolina.

In the cooperative ESas, only Colorado reported that the SEA unit head had prior experience with an ESA. Those in Alaska, Colorado, Indiana, Massachusetts and Minnesota networks had been with an SEA and LEA before the current position. The Georgia and Nebraska unit heads had previous LEA administrative experience.

As for other staff in the SEA units, project coordinators in 4 of the 7 states with an SEA unit responsible for special district ESas report 1 or less full-time equivalent professional staff member assigned to the office.

This usually is a single person, but in Pennsylvania the duties are divided among 5 persons for 1 staff position. Texas had 2.25 full-time equivalent staff persons. Clerical support is from one-half to equal to the professional staffing level, except for Oregon where no clerical support is reported. All states reported about the same levels of staffing in 1974-75 as in 1977-78.

Project coordinators in special districts states reported that in Illinois, New York and Wisconsin, SEA assigned general liaison people by Clusters of ESAs. Liaisons were assigned in Ohio by broad functional areas. Pennsylvania assigned liaisons according to decisions by the special assistant "in conjunction with the Commissioner for Basic Education," and Texas had a flexible method, with liaison people relating to all ESAs or program liaisons working with clusters of ESAs, depending on the number of SEA persons available and the size of the operations.

Project coordinators reported that the regionalized staff members ranged between 1 and 4 full-time persons, except for North Carolina, which had a part-time staff member. No clerical staff was reported for New Jersey and Ohio. Liaison people were assigned by functions, by SEA divisions and units, by personal interview or "as needed."

For the cooperative networks, the range of staff members was from a negligible .05 of a person in Nebraska to 5 persons in Colorado and Rhode Island. No clerical support was reported in Alaska and Nebraska. The 1977-78 staffing level was unchanged, except for 1 incidence of a slight increase. Liaison people were assigned in different ways -- by clusters, statewide assignment, broad functional areas, by region or according to the Appalachia state office guidelines.

In the special district networks, the state project coordinators in all 7 states with an SEA unit responsible for SEAs reported that this unit coordinates ESA contacts with other SEA units (See Table 42.) The unit also coordinates ESA contacts with other state agencies in Michigan, Ohio, Pennsylvania and Texas networks.

In the regionalized networks, SEA units coordinate ESA contacts with other SEA units in all states, except Massachusetts. It coordinates ESA contacts with other state agencies for all networks, except Ohio SERRCs.

SEA units for ESAs in the cooperative network states all coordinate ESA contacts with other SEA units and with other state agencies, except in Massachusetts and Nebraska.

III. CONTACTS BETWEEN THE SEA AND ESA

Project coordinators in most states reported that a special district ESA contacted between 4 and 15 offices of the SEA in 1977-78. Some states had more contacts -- more than 20 in Wisconsin, and over 30 in California,

Michigan, New York and Ohio. The number of contacts was about the same in 1974-75 and 1977-78, except for decreases in Texas and Wisconsin.

Contacts of regionalized networks with offices in the SEA ranged between 4 and 10 in New Jersey, Ohio and Oklahoma. Massachusetts reported that ESAs contact at least 12 SEA offices. More than 30 officers were contacted by ESAs in New Jersey CSS, Ohio FSACs and North Carolina. Three states reported about the same number of contacts in 1977-78 and in 1974-75, while the rest reported less.

Most cooperative ESAs contacted between 4 and 10 offices for regular operations in 1977-78, except for West Virginia, which reported 10-20 SEA office contacts.

In the special district networks, project coordinators reported that SEA middle management and SEA specialists communicate most frequently with a typical ESA, usually twice a month. The SEA executive staff communicates regularly, usually on a quarterly or monthly basis. Monthly contacts were reported for the Illinois, Michigan and Pennsylvania chiefs; in other states, the contacts are quarterly or annually.

In the regionalized systems, SEA coordinators reported that SEA middle management and SEA specialist levels contact ESAs semi-monthly or monthly. All networks reported regular contacts with the chief state officer, from semi-monthly to annually.

Minnesota and Nebraska project coordinators reported only annual contact at the SEA middle management level for the cooperative networks. Contact with the SEA specialist level was quarterly. Contact in Massachusetts and West Virginia was reported as daily for SEA middle management.

IV. COMMUNICATION BETWEEN ESAs AND THE SEA

All states with special districts hold statewide meetings for or by ESA executive officers (See Table 43.) The meetings are monthly, except in California and Ohio, where they are quarterly, and Washington, where they are annual. The meetings are convened at the initiative of ESA executive officers in California, Illinois, Michigan, New York and Texas, and through shared initiatives in Pennsylvania and Wisconsin. The agenda are generally developed by ESA executive officers in all states where the officers are responsible for convening the meeting, except in Washington. SEA officials develop the agenda in Michigan, and it is shared by both groups in New York, Pennsylvania, Texas, Washington and Wisconsin. The chief state school officers usually participates in the meetings in California, Illinois, Iowa, Texas and Washington. SEA executive staff usually participates in all states, except Oregon and Wisconsin.

Regular meetings are held for ESA executive officers in all regionalized networks. Meetings are semi-monthly for New Jersey CSSs and New Jersey EICS; monthly for Massachusetts, Ohio FSACs, North Carolina and Oklahoma networks, and quarterly for the Ohio SERRC network. They are convened at SEA initiative in North Carolina, Oklahoma, New Jersey (both), and are shared

SEA and ESA initiatives in all others. The chief state school officer usually participates in the New Jersey (both), Ohio and North Carolina networks. SEA executive staff usually participate in the meetings for all networks except the Ohio FSAC, and middle management also usually participates.

In the cooperative networks, project coordinators reported that regular statewide meetings are held for, or by, ESA executive officers in all states, except Maryland, where only 1 unit was operating in 1977-78. The meetings are monthly in Connecticut, Minnesota, Nebraska, and Rhode Island; bi-monthly in Colorado and West Virginia; quarterly in Alaska, Indiana and Massachusetts; and semi-annually for the Ohio RESAs. The meetings were convened at the initiative of ESA executive officers in Connecticut. Georgia, Minnesota, Nebraska and West Virginia, and by state officials in Ohio. In other states, it is jointly developed. The chief state school officer seldom participates in Colorado, Connecticut and Rhode Island.

As for other ways of communication, in the special district, project coordinators, except Oregon, reported regular meetings at irregular intervals called by the SEA, and sometimes by ESA executive officers. Most states reported sub-state group meetings. Statewide newsletters are published in 7 of the networks. Issued by both the ESAs and SEA in Illinois, Ohio and Wisconsin; by the SEA in California and New York; and by ESAs in Michigan and Pennsylvania. Communication through meetings of state professional associations was reported by 8 of the networks. A statewide planning council of ESA representatives was reported in New York. Wisconsin regularly uses an education telephone network.

In the regionalized systems, North Carolina reported no communication between ESAs and the SEA other than the monthly statewide meetings. All other networks reported special meetings and sub-state group meetings were reported for most. Statewide newsletters are published in 4 networks. They are issued by both the SEA and ESAs in Massachusetts and Ohio SERRCs, and by the SEA for the New Jersey CSSs and Oklahoma networks. Communication at state professional association meetings was reported for Massachusetts and both Ohio networks. New Jersey EICs reported using a Monday morning conference call.

In the cooperative systems, Nebraska reported no communication other than the regular statewide meetings. Irregular statewide meetings were reported for all other states, and sub-state group meetings are held in Alaska, Colorado, Connecticut, Indiana, Massachusetts and Ohio RESAs. Statewide newsletters are published by ESAs and the SEA in Alaska and Massachusetts, by the SEA in Colorado and Georgia, and by ESAs in Indiana, Maryland, and Ohio. Eight states reported communication at meetings of state professional associations. West Virginia maintains communication through the appointment by the chief state school officer of an SEA member to the ESA governing boards.

V. INVOLVEMENT OF ESAs IN STATE REGULATORY SYSTEM FOR PUBLIC LEAs, 1977-78

Eight of the 11 special district networks were formally involved in 1 or more aspects of the state regulatory system for public LEAs, either

because of legislation, SEA regulation or by regulations of other state agencies (See Table 44.) The most frequently reported activity called for the ESAs to participate in the development of a regulation and the communication and interpretation of the regulation to public LEAs. Five of the networks were involved in the administration of 1 or more regulations (California, Illinois, Iowa, Michigan and Washington.) There was extensive involvement of all of these states, except Washington. Although, in Iowa and Michigan, review and evaluation of regulations were in a limited number of programs areas.

Four of the 7 regionalized networks were involved in 1 or more aspects of the state regulatory system. In a majority, the involvement was required and was limited to the development of the regulation, communicating and interpreting it to public LEAs and the administration of the state directive.

Only 5 of the cooperative networks were reported to be involved in the state regulatory system, and in all cases, ESA involvement was voluntary.

VI. STATE REQUIRED PLANNING BY ESAs

In the states with special districts, virtually all those that have planning requirements stipulate annual planning. (Washington is the only state without planning requirements.) (See Figure 40.) Five states require financial planning and ESA planning for education of the handicapped. Three states require comprehsnive program planning and ESA planning for vocational and occupational education. The legal basis for the requirements are divided equally between legislative statute and SEA regulations.

Among the regionalized networks, North Carolina is the only one with no state requirement for ESA planning. In the remaining 6 networks, all require annual activities and ESA planning for general organization. Five networks require comprehsnive program plans and 4 must submit financial plans. Most planning requirements are stated in SEA regulations.

Connecticut, Nebraska and South Carolina have no state requirements for cooperative network planning. Nine states require annual planning and 6 require comprehsnive program planning. Five states require planning for education of the handicapped, and 4 states require general organization planning and financial planning. The requirements generally are spelled out in SEA regulations.

VII. LEGAL BASIS, FREQUENCY AND TYPE OF FORMAL EVALUATIONS OF ESAs

Three of the special district ESA networks were required to have formal organizational evaluations -- Ohio, Pennsylvania and Texas systems (See Figure 4°.) The evaluations were part of the legislation governing the units, with SEA regulations added in the case of Ohio. Evaluations in Texas are called for every 5 years, with ESA staff and "an outside panel of distinguished personnel from other service centers and school administrators" serving on the panel. These networks, plus the Iowa system,

are required by legislation to have evaluations of their financial operations, usually annually. The same states are required to submit evaluations of their general programs and services or submit evaluations of specific programs.

Four of the 7 regionalized networks must submit formal organizationa evaluations, and in a majority of cases, it is required by SEA regulations and conducted annually. Three of the 4 must submit formal evaluations of their financial operations, and 5 of the systems must submit overall evaluations, with both self and external evaluations generally required.

Six of the 13 cooperative networks must have formal evaluations of their organiztions, usually annually. Required financial evaluations were less frequent. However, 7 of the 13 must submit either general or specified program evaluations. In a majority of states, SEA regulation is the legal basis for the evaluation requirements.

VIII. REQUIRED MULTI-ESA GROUPING

Five states with special districts reported the existence of state requirements that individual ESA units be grouped together for special purposes (See Table 45.) Two states require grouping for education of the handicapped and vocational and occupational programs. SEA regulations require multi-ESA grouping in Illinois and legislation requires it in Ohio. In both states, SEA regulation requires it for adult education and media/library services. Ohio also requires its units, through SEA regulations, to have multi-agency grouping for bilingual education and migrant education. In New York, SEA regulations require multi-ESA grouping for data processing in Michigan and for migrant education and media/library services in Wisconsin. Also in Wisconsin, the Education Communication Board requires multi-ESS grouping for educational television.

No state project coordinator reported a requirement that individual regionalized units be grouped into multi-ESA districts for special purposes.

Among the cooperative network states, Ohio is the only one with a requirement for grouping of individual ESAs for special purposes. Its state regulations require grouping for vocational and occupational programs, adult education and media/library services.

IX. STATE DEVELOPED CRITERIA FOR ALLOCATING FUNCTIONS TO ESAs

As reported by the project coordinators, written criteria for allocating functions to the special district networks were:

Illinois	"Twenty-two duties and 12 powers of the county superintendent are specified in the 1945 code."
Ohio	"Criteria are found in a document subtitled, 'The Role of the County Office of Education in Ohio' issued by the state of Ohio Department

of Education, January, 1977. Listed are 20 mandatory responsibilities, and 14 powers which county boards of education cannot exercise."

Michigan

"Provisions governing intermediate school districts are presented in General School laws with functions allocated in the following sections:"

380.622	Depositories for school funds....
380.627	Management, consultant, or supervisory services; cooperative programs.
380.628	Schools for children in homes operated by juvenile division of probate court.
380.671	Criteria for approval of regional educational media centers; operation of educational media centers....
380.673	Operation of educationl recreation programs.
380.684	Operation of area vocational-technical education.

New York

"Education Law. Article 40, Section 1958 as amended 1976...for the purpose of carrying out a program of shared educational services in the schools of the supervisory district and for providing instruction in such special subjects as the commissioner may approve...Provide any of the following services on a cooperative basis: school nurse, teacher, attendance supervisory, supervisory of teachers, dental hygienist, psychologist, teachers of art, music, physical education, vocational subjects, guidance counsellors, operation of special classes for handicapped children...pupil and financial accounting service by means of mechanical equipment; maintenance and operation of cafeteria or restaurant service for the use of pupils and teachers while at school...."

Pennsylvania

"School Laws of Pennsylvania, Public School Code of 1949, 9.4A(5) Each intermediate unit may provide, but shall not be limited to the following services: curriculum development and instructional planning, educational planning services, instructional materials services, continuing professional education services, pupil personnel services, state and federal agency liaison services, management services. 914.A(7) Conduct programs of services authorized by state board of education: Classes and schools for exceptional children, educational broadcasting, audio-visual libraries, instructional materials center, area technical schools, area vocational schools."

Texas

"Statement in 'Revised Position Paper of Education Service Center Governance, Functions, and funding.' State Board of Education, 1976, By law, service centers are charged with providing media services, coordination of planning within the region, computer services and other services. State Boards of Education policy and administrative procedure require that centers provide special education services, guidance services, drug education services, and bus driver training. In addition, centers provide services in response to needs and wishes of local districts as determined by extensive and valid regional needs assessments. Centers also assist local schools in identifying, evaluating and adopting promising new programs and practices with assistance in the form of leadership, consultative assistance, and in-service training. Centers are expected to participate in and assist with appropriate statewide programs upon request of the legislature and/or state Board of Education."

Washington

"Statatory responsibilities of Education Service Districts were compiled in 1976 in an 8 page listing. Responsibilities of the Educational Service Districts as found in the Rules and Regulations of the State Board of Education Washington Administrative Code Title 180 were compiled in a 2 page listing. Title 28A: Common School Provisions lists identification of core services for budget purposes as follows: education service district administration and facilities; assistance in carrying out procedures to abolish sex and race bias in school programs, fiscal services, grants managements services, special education services and transportation services; personnel services such as certification/registration services; learning resource services such as audio-visual aids; cooperative curriculum services such as health promotion and health education services; in-service training, workshops and assessment; and special needs of local education agencies."

According to project coordinators in 2 states, written criteria for cooperative units said:

Minnesota

"The 1976 legislation establishing educational cooperative service units to provide educational services and programs on a regional basis provides

that these programs and services may include but are not limited to, the following areas: administrative services and purchasing, curriculum development, data processing, educational television, evaluation and research, in-service training, media centers, regional planning, joint use of facilities, and flexible and year-round school scheduling, secondary, post-secondary community, adult and adult vocational education, individual instruction and services, including services for students with special talents and special needs, teacher personnel services, vocational rehabilitation, health, diagnostic, and child development services and centers, leadership or direction in early childhood and family education, community services, shared time-programs."

Rhode Island — "Written criteria reported are embodied in the general provision that any school committee... may enter into an agreements with 1 or more other school committees to conduct, joint instructional education programs and/or administrative functions." (General Laws Relating to Education 16-3.1, Title 16, 1975)

X. CHANGES IN SEA FUNCTIONS RESULTING FROM OPERATION OF ESAs

According to project coordinators in the special district states, 8 states have not transferred functions from the SEA to ESAs in the past few years (See Table 46.) The 3 states where transfers were reported and the functions are:

Washington — "Monitoring handicapped programs"

Texas — "Sharing of accreditation process (voluntary), Child Find."

New York — "Preliminary screening of financial data from LEAs, preparation of attendance on magnetic tape, preparation of financial data from LEAs on magnetic tape, evaluation for teacher certification, operation of mini-grant process."

In the regionalized networks, project coordinators for 3 networks reported that no functions have been transferred from the SEA to the ESAs. The 4 that did report transfers are:

Massachusetts — "All program and service delivery functions in special education, occupational education, federal programs, disadvantaged programs, and student services."

New Jersey (EIC) — "Curriculum development, professional development, technical assistance for local school districts, and regional conferences -- planning and arrangements."

North Carolina	"Technical assistance to LEAs -- vocational education, exceptional children, reading, research and testing, school food services, mathematics, language arts and ESEA Title I."
Oklahoma	"Individual student evaluation, media library, some in-service."

In 12 cooperative network states, no functions had been transferred from the SEA to ESAs. The one transfer noted was: .

Alaska	"On-site technical assistance to LEAs, some needs assessing, consultant services and workshops."

Three state project coordinators reported that functions now assumed by special district ESAs would have had to be assumed by the SEA if the ESAs didn't exist in recent years. (See Table 47.)

New York	"Coordination of CETA and YETP with prime sponsors, evaluation of school unch programs by contract, operation of National Dissemination Network, and Migrant Record Transfer System."
Pennsylvania	"Act 88-90, Nonpublic School Services."
Texas	"Accreditation changes, Child Find, bus driver training, bilingual education and migrant education."
Wisconsin	"School district reorganization, executive secretary to agency committee."

The project coordinator for the New Jersey regionalized (CSS) network was the only one of the regionalized networks to report new functions that would have had to be assumed by the SEA. This was "monitoring of school districts accomplishments under the Thorough and Efficient Rules and Regulations."

In the cooperative networks, coordinators in 3 states reported new functions of ESAs that would have had to be assumed by SEAs:

Colorado	"Curriculum development, evaluation design, pupil progress measurement, long-rang planning, special program administration, research and development, and information access."
Minnesota	"Planning assistance"
Nebraska	"Assistance and guidance in special education."

XI. SUMMARY OR MAJOR FINDINGS

Representation at the state level:

1. A single SEA unit or office with primary responsibility for SEA-ESA relations was reported for a majority (23 of 31) of the networks, including all 7 of the regionalized networks.

2. The status location of the head of the SEA unit or office is middle management for a majority (13 of 23) of the networks. This was the most frequently cited status location for special districts, regionalized and cooperative ESAs.

3. The per cent of time the head of the unit devoted annually to ESA responsibilities varies substantially. Six ot the individuals devoted full-time. An additional 5 devoted 60 per cent or more. Nine devoted less than 40 per cent.

4. Seventeen of the 23 SEA units or offices with primary ESA responsibility were reported to have other major program responsibilities. It was a full-time office in 1 special district network (texas), 3 regionalized networks and 1 cooperative network (Indiana). The remaining SEA units had from 1 to 3 other functions.

Experience and size of staffs at SEA units for ESAs:

5. Most (16) of the heads of the SEA units had previous administrative experience in an LEA before taking their current positions. Fifteen had other administrative exepreince in the SEA; only 3 had experience as an administrator in an ESA.

6. The size of the professional and clerical staffs of the SEA unit varied in 1977-78 from less than 1 full-time equivalent professional and clerical positions in some networks, to 6 professional and 3 clerical positions in New York.

Coordination and Communcation Links:

7. Virtually all (22 of 23) of the SEA units coordinated ESA contacts with other offices within the SEA, and a majority (17) coordinated ESA contacts with other state-level departments. However, only 8 extended their ESA coordinating role to non-state level agencies.

8. All state networks, except South Carolina, reportedly contacted a large number of SEA units, most typically 4 to 10. Seven networks reportedly related to 30 or more.

9. The frequency of communications between selected SEA officials and ESAs in states was relatively extensive. A majority (24 of 27) of chief school officers communicated with ESAs at least annually, and 11 of these were in contact at least monthly. Extensive communication was also conducted by other staff members.

10. Statewide meetings of ESA executive officers of 20 of the 31 networks were held on a regular basis, most typically each month.

11. Responsibility for convening regular statewide meetings of executive officers was shared jointly by the officers and SEA staff in 11 cases. Almost as many were convened by the executive officers themselves.

Involvement of ESAs in SEA functions:

12. Seventeen of the 31 ESA networks were formally involved in regulations governing local school district operations. Eight of 11 of the special district units, and 4 of the 7 regionalized networks were included. However, only 5 of the 13 cooperative systems were involved, all of them voluntarily.

13. Variations existed in the involvement of ESA networks for specific program areas governed by state regulations. Education of the handicapped was the program reportedly regulated in the greatest number (15) of states. Eleven networks were formally involved in either the planning, implementation or evaluation of regulations governing this activity. Other program areas in which at least 7 ESA networks were formally involved were vocational and occupational education, federal programs, financial services, and transportation services. Tow special district networks, in California and Illinois, were involved in all 25 program areas cited in the survey.

Required evaluations:

14. Variations existed among the 3 types of networks as to the submission to the state of required organization and/or program evaluations. Only 2 of the special district networks were required to submit 1 or both types of evaluations. Half (6) of the cooperative networks were. Five of the 7 regionalized networks were required to file either formal organization or program evaluations.

Participation in planning activities:

15. Most (23 of 30) ESA networks were required by the state to engage in planning activities, usually because of SEA regulations. Comprehensive program planning was required of 15 networks, fiscal planning of 14, general or organizational planning of 13 and planning for the education of the handicapped of 11.

Grouping of ESAs;

16. State requirements for multi-ESA grouping were reported for 6 networks, including 5 special district systems, primarily by SEA regulations. Multi-ESA grouping was reported the most frequently.

Written criteria for functions:

17. One-third (10) of the networks were assigned functions by the state based on the use of written criteria, with the majority of them special districts. Criteria focused on the enumeration of specific program areas that ESAs are to provide or may provide.

Functions that would have been at SEA level:

18. Since 1974-75 few of the ESA networks have been assigned functions traditionally assumed by the SEA. One-half of them are regionalized systems. The most frequently reported transferred functions were management services and indirect instructional services. Only a few project coordinators believed that their SEA would have had to assume one or more new functions now with the ESAs in their state, had the ESAs not been in existence.

TABLE 40 NUMBER OF SEAs REPORTING EXISTENCE OF UNIT OR OFFICE HAVING PRIMARY RESPONSIBILITY FOR SEA/ESA RELATIONS

TYPE of ESA and STATE	Existence of Unit or office in 1977-78		Status Location of Head of Unit or Office in SEA			Existence of Unit or office in 1974-75	
	Yes	No	Executive Level	Middle Management	Specialist Level	Yes	No
TYPE A: SPECIAL DISTRICT ESA							
1. California		X					
2. Illinois	X				X	X	
3. Iowa	X						
4. Michigan		X					
5. New York	X			X		X	
6. Ohio (COE)	X		X			X	
7. Oregon	X		X			X	
8. Pennsylvania	X				X	X	
9. Texas	X			X		X	
10. Washington		X					
11. Wisconsin	X			X		X	
TOTAL	8	3	2	3	2	7	
TYPE B: REGIONALIZED SEA/ESA							
1. Massachusetts (REC)	X			X		X	
2. New Jersey (ZIC)	X			X			X
3. New Jersey (CSS)	X		X			X	
4. Ohio (SERRC)	X		X			X	
5. Ohio (PSAC)	X			X		X	
6. North Carolina	X		X			X	
7. Oklahoma	X			X			
TOTAL	7		3	4		5	1
TYPE C: COOPERATIVE ESA							
1. Alaska	X			X			X
2. Colorado	X		X			X	
3. Connecticut		X					
4. Georgia	X			X		X	
5. Indiana	X			X		X	
6. Maryland		X					
7. Massachusetts (ZC)	X			X		X	
8. Minnesota	X			X			X
9. Nebraska	X				X	X	
10. Ohio (RESA)	X			X		X	
11. Rhode Island	X		X				X
12. South Carolina		X					
13. West Virginia		X					
TOTAL	9	4	2	6	1	6	3
Total All ESAs	24	7	7	13	3	13	4

TABLE 40 (continued)

TYPE OF ESA AND STATE	SIZE OF STAFF			
	ACTUAL 1977 - 78		ESTIMATED 1974-75	
	Professional Staff	Clerical Staff	Professional Staff	Clerical Staff
TYPE A: SPECIAL DISTRICT ESA				
1. California				
2. Illinois	.25	.2	.25	.2
3. Iowa				
4. Michigan				
5. New York	6.0	3.0	3.0	2.0
6. Ohio (COE)	1.0	1.0	1.0	1.0
7. Oregon				
8. Pennsylvania	1.0	1.0	1.0	1.0
9. Texas	2.5	1.5	2.25	1.5
10. Washington				
11. Wisconsin	.9	.5	.7	.5
TOTAL	10.4	5.7	7.2	5.2
TYPE B: REGIONALIZED SEA/ESA				
1. Massachusetts (REC)	2.0	3.0	1.0	1.0
2. New Jersey (EIC)	1.0	1.0		
3. New Jersey (CSS)	4.0		1.0	
4. Ohio (SERRC)	3.2	.5		
5. Ohio (FSAC)	2.0	2.0	2.0	2.0
6. North Carolina	.5	.5	.2	.2
7. Oklahoma	2.0	1.0		
TOTAL	14.5	8.0	4.2	3.2
TYPE C: COOPERATIVE ESA				
1. Alaska				
2. Colorado	3.0	2.0		
3. Connecticut				
4. Georgia	1.25	1.0	1.25	1.0
5. Indiana				
6. Maryland				
7. Massachusetts (EC)	1.3	.5	1.3	.5
8. Minnesota	3.0	.25		
9. Nebraska	.05		.05	
10. Ohio (RESA)				
11. Rhode Island	3.0	2.0		
12. South Carolina				
13. West Virginia		2.0		
TOTAL	15.6	7.5	2.6	1.5
Total All ESAs:	40.5	21.45	14.0	9.9

TABLE 41 PER CENT OF TIME HEAD OF SEA UNIT AND UNIT DEVOTED TO SEA RESPONSIBILITIES AND NUMBER OF UNITS HAVING OTHER MAJOR PROGRAM FUNCTIONS

TYPE of ESA and STATE	Per Cent of Time Devoted to ESA Responsibilities		Number of SEA Units Having Other Major Program Functions		
	Head of Unit a)	SEA Unit b)	Yes	No	Number of Functions
TYPE A: SPECIAL DISTRICT ESA					
1. Illinois	10-19	10-19	X	-	2
2. New York	80-99	80-100	X	-	1
3. Ohio (COE)	FT	1-9	X	-	-
4. Oregon	-	-	-	-	-
5. Pennsylvania	60-79	60-79	X	-	2
6. Texas	FT	80-100	-	X	-
7. Wisconsin	80-99	80-100	X	-	1
Total	-	-	5	1	-
TYPE B: REGIONALIZED SEA/ESA					
1. Massachusetts (REC)	80-99	60-79	X	-	-
2. New Jersey (RIC)	80-99	80-100	X	-	2
3. New Jersey (CSS)	10-19	10-19	X	-	1
4. Ohio (SERRC)	40-59	20-39	X	-	-
5. Ohio (FSAC)	FT	80-100	-	X	-
6. North Carolina	40-59	-	X	-	-
7. Oklahoma	FT	80-100	-	X	-
Total	-	-	5	2	-
TYPE C: COOPERATIVE ESA					
1. Alaska	10-19	-	X	-	-
2. Colorado	20-39	10-19	X	-	1
3. Georgia	20-39	10-19	X	-	1
4. Indiana	FT	80-100	-	X	-
5. Massachusetts (EC)	20-39	20-39	X	-	1
6. Minnesota	10-19	10-19	X	-	1
7. Nebraska	1-9	1-9	X	-	1
8. Ohio (RESA)	FT	60-79	X	-	1
9. Rhode Island	10-19	-	X	-	1
Total	-	-	8	1	-
Total All ESAs	-	-	18	4	-

Note(s): a) Seven time intervals were identified in the instrument: 1-9; 10-19; 20-39; 40-59; 60-79; 80-99; and full time (FT)
b) Six time intervals were identified in the instrument; the first five were similar to the above, the sixth was: 80-100 per cent.

TABLE 42 NUMBER OF SEA UNITS OR OFFICES COORDINATING ESA CONTACTS AND FUNCTIONS WITH OTHER SEA UNITS, OTHER STATE AND NON-STATE LEVEL AGENCIES, AND FEDERAL AGENCIES, 1977-78

TYPE of ESA and STATE	Coordinate ESA Functions Other SEA Units		Coordinate ESA Functions Other State Level Agencies		Coordinate ESA Functions Non-State Level Agencies		Coordinate ESA Functions With Federal Agencies	
	Yes	No	Yes	No	Yes	No	Yes	No
TYPE A: SPECIAL DISTRICT ESA								
1. California	-	-	-	-	-	-	-	-
2. Illinois	X	-	-	X	-	-	-	X
3. Iowa	-	-	-	-	-	-	-	-
4. Michigan	-	-	-	-	-	-	-	-
5. New York	X	-	X	-	X	-	-	X
6. Ohio (COE)	X	-	X	-	X	-	X	-
7. Oregon	X	-	-	-	-	-	-	-
8. Pennsylvania	X	-	X	-	X	-	X	-
9. Texas	X	-	X	-	-	-	-	X
10. Washington	-	-	-	-	-	-	-	-
11. Wisconsin	X	-	-	X	-	-	-	X
Total	7	-	4	2	3	-	2	4
TYPE B: REGIONALIZED SEA/ESA	-	-	-	-	-	-	-	-
1. Massachusetts (REC)	-	X	X	-	-	-	X	-
2. New Jersey (EIC)	X	-	X	-	-	-	-	X
3. New Jersey (CSS)	X	-	X	-	-	-	X	-
4. Ohio (SERRC)	X	-	-	X	-	-	X	-
5. Ohio (FSAC)	X	-	X	-	X	-	X	-
6. North Carolina	X	-	X	-	-	-	X	-
7. Oklahoma	X	-	X	-	X	-	X	-
Total	6	1	5	1	2	-	6	1
TYPE C: COOPERATIVE ESA								
1. Alaska	X	-	X	-	-	-	-	X
2. Colorado	X	-	X	-	X	-	X	-
3. Connecticut	-	-	-	-	-	-	-	-
4. Georgia	X	-	X	-	-	-	-	X
5. Indiana	X	-	X	-	X	-	-	X
6. Maryland	-	-	-	-	-	-	-	-
7. Massachusetts (EC)	X	-	-	X	-	-	-	X
8. Minnesota	X	-	X	-	X	-	X	-
9. Nebraska	X	-	-	X	X	-	-	X
10. Ohio (RESA)	X	-	X	-	-	-	X	-
11. Rhode Island	X	-	X	-	-	-	X	-
12. South Carolina	-	-	-	-	-	-	-	-
13. West Virginia	-	-	-	-	-	-	-	-
Total	9	-	7	2	4	-	4	5
Total All ESAs	22	1	17	5	9	-	12	10

TABLE 43 FREQUENCY OF STATEWIDE MEETINGS OF ESA EXECUTIVE OFFICERS AND OFFICIALS RESPONSIBLE FOR ORGANIZING SESSIONS

TYPE of ESA and STATE	Statewide Meetings of Executive Officers		Frequency of Meetings	Officials Responsible For Convening Meetings And Developing Agenda 1. ESA Executive Officers 2. SEA Officials 3. Shared	
	Yes	No		Convene Meetings	Developing Agenda
TYPE A: SPECIAL DISTRICT ESA					
1. California	X		Quarterly	1	1
2. Illinois	X		Monthly	2	1
3. Iowa	X		Monthly	1	1
4. Michigan	X		Monthly	2	2
5. New York	X		8-10 Yr	2	2
6. Ohio (COE)	X		Quarterly	1	1
7. Oregon	X			1	1
8. Pennsylvania	X		Monthly	3	3
9. Texas	X		Monthly	2	3
10. Washington	X		Annually	1	3
11. Wisconsin	X		Monthly	3	3
TOTAL	11	0			
TYPE B: REGIONALIZED SEA/ESA					
1. Massachusetts (REC)	X		Monthly	2	3
2. New Jersey (EIC)	X		Bi-Monthly	2	3
3. New Jersey (CSS)	X		Bi-Monthly	2	2
4. Ohio (SERRC)	X		Quarterly	3	3
5. Ohio (PSAC)	X		Monthly	3	3
6. North Carolina	X		Monthly	2	3
7. Oklahoma	X		Monthly	2	2
TOTAL	7	0			
TYPE C: COOPERATIVE ESA					
1. Alaska	X		Quarterly	3	3
2. Colorado	X		Bi-Monthly	3	3
3. Connecticut	X		Monthly	1	3
4. Georgia	X		Quarterly	1	1
5. Indiana	X		Quarterly	3	3
6. Maryland		X			
7. Massachusetts (EC)	X		Quarterly	3	3
8. Minnesota	X		Monthly	1	1
9. Nebraska	X		Monthly	1	1
10. Ohio (RESA)	X		Bi-Annually	3	2
11. Rhode Island	X		Monthly	3	3
12. South Carolina		X			
13. West Virginia	X		Monthly	1	1
TOTAL	11	2			
Total All ESAs:	29	2			

TABLE 44 NUMBER OF ESA NETWORKS FORMALLY INVOLVED IN THE STATE REGULATORY SYSTEM FOR PUBLIC LEAs, AND NATURE OF INVOLVEMENT[a]

TYPE of ESA and STATE	ESAs Formally Involved in One or More Aspects of Regulatory System		Nature of Involvement					
	Yes	No	Development of Regulation	Communication of Regulation	Interpretation of Regulation	Administration of Regulation	Review/Evaluation of Regulation	Application of Sanctions for Non-Compliance
TYPE A: SPECIAL DISTRICT ESA								
1. California	X[b]		X	X	X	X	X	X
2. Illinois	X[b]		X	X	X	X	X	X
3. Iowa	X[b]		X	X	X	X	X	X
4. Michigan	X[b]		X	X	X	X	X	X
5. New York	X[b]		X	X	X	-	-	-
6. Ohio (COE)	X[b]		X	X	X	-	-	-
7. Oregon		X	-	-	-	-	-	-
8. Pennsylvania	X[b]		-	-	-	-	-	-
9. Texas		X	-	-	-	-	-	-
10. Washington	X[b]		X	X	X	X	X	-
11. Wisconsin		X	-	-	-	-	-	-
Total	8	3	7	7	7	5	5	4
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	X[b]		X	X	X	X	X	-
2. New Jersey (EIC)	X[c]		-	-	-	-	-	-
3. New Jersey (CSS)	X[b]		X	X	X	X	X	-
4. Ohio (SERRC)		X	-	-	-	-	-	-
5. Ohio (PSAC)		X	-	-	-	-	-	-
6. North Carolina	X[b]		X	X	X	X	-	-
7. Oklahoma		X	-	-	-	-	-	-
Total	4	3	3	3	3	3	2	-
TYPE C: COOPERATIVE ESA								
1. Alaska		X	-	-	-	-	-	-
2. Colorado	X[c]		X	X	-	X	-	-
3. Connecticut		X	-	-	-	-	-	-
4. Georgia		X	-	-	-	-	-	-
5. Indiana		X	-	-	-	-	-	-
6. Maryland		X	-	-	-	-	-	-
7. Massachusetts (EC)	X[c]		-	-	-	-	-	-
8. Minnesota		X	-	-	-	-	-	-
9. Nebraska	X[c]		-	X	-	X	-	-
10. Ohio (RESA)	X[c]		-	-	-	-	-	-
11. Rhode Island	X[c]	-	-	-	-	-	-	-
12. South Carolina		X	-	-	-	-	-	-
13. West Virginia		X	-	-	-	-	-	-
Total	5	8	1	2	-	2	-	-
Total All ESAs	17	14	11	12	10	10	7	4

Note(s):
a) The involvement of some ESA networks varies according to the focus of the regulation (e.g., education of pupils with handicapping conditions, vocational/occupational education, finance, transportation). The most common form of involvement is reported here.
b) Required involvement.
c) Voluntary involvement.

FIGURE 40

PERCENT ESA NETWORKS REQUIRED TO SUBMIT PLANS TO SEA IN 1977-78 BY TYPE OF NETWORK

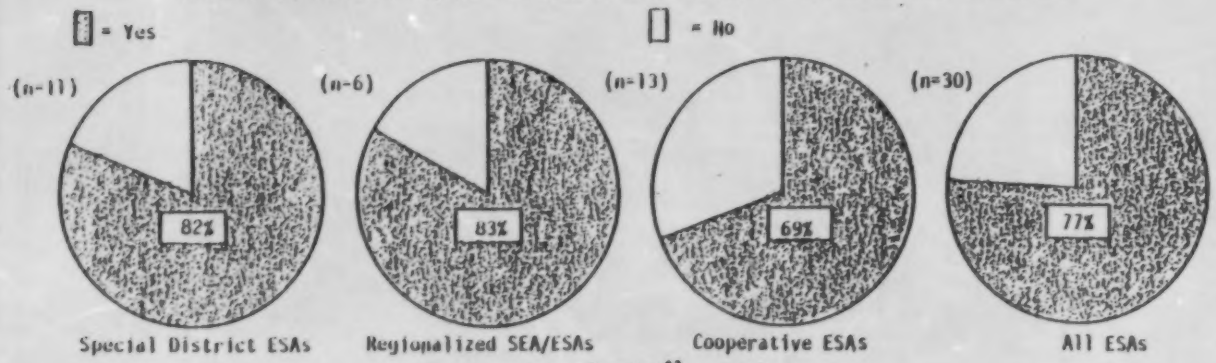


FIGURE 41

PERCENT ESA NETWORKS REQUIRED TO SUBMIT FORMAL ORGANIZATION AND/OR PROGRAM EVALUATION TO ESA IN 1977-78 BY TYPE OF NETWORK

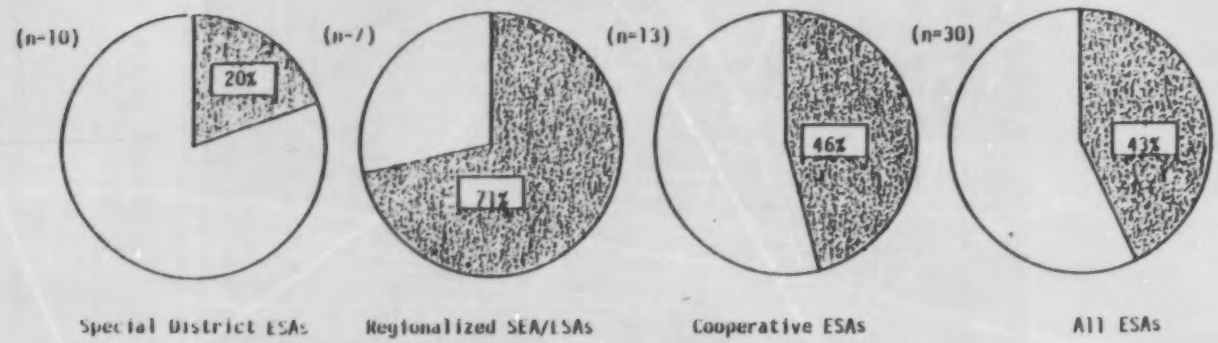


TABLE 45 NUMBER OF STATES REQUIRING MULTI-ESA GROUPING AND PROGRAM AREA(S) INCLUDED a/

TYPE of ESA and STATE	Yes	No	Program Area(s) Included: 1. Education of handicapped 2. Vocational occupational 3. Adult Education 4. Bilingual education 5. Migrant education 6. Media/library services 7. Data processing 8. Educational television
TYPE A: SPECIAL DISTRICT ESA			
1. California		x	
2. Illinois	x		1 2 3 6
3. Iowa		x	
4. Michigan	x		6
5. New York	x		7
6. Ohio (COE)	x		1 2 3 4 5 6
7. Oregon		x	
8. Pennsylvania		x	
9. Texas		x	
10. Washington		x	3 7 8
11. Wisconsin	x		
TOTAL	5	6	
TYPE B: REGIONALIZED SEA/ESA			
1. Massachusetts (REC)		x	
2. New Jersey (EIC)		x	
3. New Jersey (CSS)		x	
4. Ohio (SERRC)		x	
5. Ohio (FSAC)		x	
6. North Carolina		x	
7. Oklahoma		x	
TOTAL	0	7	
TYPE C: COOPERATIVE ESA			
1. Alaska		x	
2. Colorado		x	
3. Connecticut		x	
4. Georgia		x	
5. Indiana		x	
6. Maryland		x	
7. Massachusetts (EC)		x	
8. Minnesota		x	
9. Nebraska		x	
10. Ohio (RESA)	x		2 3 5
11. Rhode Island		x	
12. South Carolina		x	
13. West Virginia		x	
TOTAL	1	12	

Note(s) a/ Multi ESA programming may be required in legislation or by ESA regulation.

TABLE 46 NUMBER OF SEAs REPORTING TRANSFER OF TRADITIONAL SEA FUNCTIONS TO ESAs SINCE 1974-75

TYPE of ESA and STATE	Traditional SEA Functions Transferred to ESAs		Number and Nature of Traditional SEA Functions Transferred to ESAs					
	Yes	No	Direct Instructional Services to LEAs	Indirect Instructional Services to LEAs	Management Services to LEAs	Services to SEA	Services to Other Agencies	Services to Non-public Schools
TYPE A: SPECIAL DISTRICT ESA								
1. California	-	X	-	-	-	-	-	-
2. Illinois	-	X	-	-	-	-	-	-
3. Iowa	-	X	-	-	-	-	-	-
4. Michigan	-	X	-	-	-	-	-	-
5. New York	X	-	-	-	4	1	-	-
6. Ohio (COE)	-	X	-	-	-	-	-	-
7. Oregon	-	X	-	-	-	-	-	-
8. Pennsylvania	-	X	-	-	-	-	-	-
9. Texas	X	-	1	1	-	1	-	-
10. Washington	X	-	-	-	-	-	-	-
11. Wisconsin	-	X	-	-	-	-	-	-
Total	3	8	1	1	4	2	-	-
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	X	-	-	-	-	-	-	-
2. New Jersey (EIC)	X	-	-	3	1	-	-	-
3. New Jersey (CSS)	-	X	-	-	-	-	-	-
4. Ohio (SERRC)	-	X	-	-	-	-	-	-
5. Ohio (PSAC)	-	X	-	-	-	-	-	-
6. North Carolina	X	-	-	1	1	-	-	-
7. Oklahoma	X	-	1	1	1	-	-	-
Total	4	3	1	5	3	-	-	-
TYPE C: COOPERATIVE ESA								
1. Alaska	X	-	-	-	1	-	-	-
2. Colorado	-	X	-	-	-	-	-	-
3. Connecticut	-	X	-	-	-	-	-	-
4. Georgia	-	X	-	-	-	-	-	-
5. Indiana	-	X	-	-	-	-	-	-
6. Maryland	-	X	-	-	-	-	-	-
7. Massachusetts (EC)	-	X	-	1	-	-	-	-
8. Minnesota	-	X	-	-	-	-	-	-
9. Nebraska	-	X	-	-	-	-	-	-
10. Ohio (RESA)	-	X	-	-	-	-	-	-
11. Rhode Island	-	X	-	-	-	-	-	-
12. South Carolina	-	X	-	-	-	-	-	-
13. West Virginia	-	X	-	-	-	-	-	-
Total	1	12	-	1	-	-	-	-
Total All ESAs	8	23	2	7	10	2	-	-

TABLE 47

PERCEPTIONS OF SEA PROJECT COORDINATORS OF NEW ESA FUNCTIONS THAT WOULD HAVE TO BE ASSUMED BY SEA IF ESAs NOT IN EXISTENCE

TYPE of ESA and STATE	New Functions Assumed by ESAs		Number and Nature of New ESA Functions that SEA Would Assume if ESAs Not in Existence					
	Yes	No	Direct Instructional Services to LEAs	Indirect Instructional Services to LEAs	Management Services to LEAs	Services to SEA	Services to Other Agencies	Services to Non-public Schools
TYPE A: SPECIAL DISTRICT ESA								
1. California	-	X	-	-	-	-	-	-
2. Illinois	-	X	-	-	-	-	-	-
3. Iowa	-	X	-	-	-	-	-	-
4. Michigan	-	X	-	-	-	-	-	-
5. New York	X	-	1	1	1	1	-	-
6. Ohio (COE)	-	X	-	-	-	-	-	-
7. Oregon	-	X	-	-	-	-	-	-
8. Pennsylvania	X	-	-	-	-	-	-	1
9. Texas	-	X	1	-	2	-	-	-
10. Washington	X	-	-	-	-	-	-	-
11. Wisconsin	X	-	-	-	-	1	-	-
Total	4	7	4	1	5	2	-	1
TYPE B: REGIONALIZED SEA/ESA								
1. Massachusetts (REC)	-	X	-	-	-	-	-	-
2. New Jersey (EIC)	-	X	-	-	-	-	-	-
3. New Jersey (CSS)	-	X	-	-	-	1	-	-
4. Ohio (SERRC)	-	X	-	-	-	-	-	-
5. Ohio (PSAC)	-	X	-	-	-	-	-	-
6. North Carolina	-	X	-	-	-	-	-	-
7. Oklahoma	-	X	-	-	-	-	-	-
Total	-	7	-	-	-	1	-	-
TYPE C: COOPERATIVE ESA								
1. Alaska	-	X	-	-	-	-	-	-
2. Colorado	-	X	-	3	4	-	-	-
3. Connecticut	X	-	-	-	-	-	-	-
4. Georgia	-	X	-	-	-	-	-	-
5. Indiana	-	X	-	-	-	-	-	-
6. Maryland	-	X	-	-	-	-	-	-
7. Massachusetts (EC)	-	X	-	-	-	-	-	-
8. Minnesota	X	-	-	1	-	-	-	-
9. Nebraska	X	-	-	1	-	-	-	-
10. Ohio (RESA)	-	X	-	-	-	-	-	-
11. Rhode Island	-	X	-	-	-	-	-	-
12. South Carolina	-	X	-	-	-	-	-	-
13. West Virginia	-	X	-	-	-	-	-	-
Total	3	10	-	5	-	-	-	-
Total All ESAs	7	24	4	6	9	3	-	1

CHAPTER ELEVEN

DISCUSSION OF THE FINDINGS OF THE STUDY OF SELECTED CHARACTERISTICS

1. INTRODUCTION

Introduction

The discussion of the findings of the study of selected characteristics of the 31 ESA networks, and the individual ESA units comprising these networks, is divided into 4 sections:

1. Observations about the trends of the 3 types of ESA networks, that appear to be related to the selected characteristics given prominence in this investigation;

2. Observations concerning the tendencies of the 3 types of ESA networks viewed from the perspective of 10 themes dominant in the literature on service agencies;

3. Observations concerning the perceived major strengths and weaknesses of the 3 types of ESA networks; and

4. Observations concerning the utility of the selected characteristics of types of ESA networks in identifying the direction of further taxonomic efforts (which are held to be an essential prerequisite to the design of appropriate evaluation strategies for comparing types of education service agencies.)

It is to be recalled that the 3 types of ESA networks used throughout the study were: Type A: special district ESAs; Type B: regionalized SEA/ESA; and, Type C: cooperative ESAs. The dominant characteristics of each of the 3 types of ESAs are:

Type A: Special District ESA

A legally constituted unit of school government between the state education agency and a collection of local education agencies. This pattern appears to be supported by the view that ESAs should be established by the state, or the state and local education agencies acting in concert, to provide services to both the SEA and constituent LEAs. Dominant characteristics are: (1) legal framework: tends to be structured in legislation or SEA regulations; (2) governance: tends to be lay control; (3) programs and services: tends to be a mix of services for member LEAs and SEA; and (4) fiscal: tends to be a mix of local, regional, state and state/federal.

Type B: Regionalized SEA/ESA

A regional branch of the state education agency. This pattern appears to be supported by the view that ESAs should be established as arms of

the state to deliver services for the state education agency. Dominant characteristics are: (1) legal framework: tends to be structured in SEA regulation only; (2) governance: tends to be professional advisory only; (3) programs and services; almost exclusively determined by SEA; (4) fiscal: almost exclusively state and/or state/federal. These units were further subdivided into: those providing general services only; and, those providing both administrative and general services.

Type C: Cooperative ESA

A loose consortium of local education agencies. This pattern appears to be supported by the view that ESAs should be established by two or more local education agencies to provide services exclusively to members of the cooperative. Dominant characteristics appear to be: (1) legal framework: tends to be general (e.g., intergovernmental relations statutes); (2) governance: tends to be by representatives of numerous LEAs; (3) programs and services: almost exclusively determined by member LEAs; and (4) fiscal: almost exclusively local and state/federal. These units were further subdivided into those that were: multi-purpose (5 or more services); and those that were limited purpose (not more than 4 services); and, those that were single-purpose.

The use of the 4 dominant characteristics cited above greatly facilitated the placement of a substantial number of the 31 networks into the 3 categories. However, the classification of several of the networks was more difficult because of the complexities of their funding and programming features. This was especially true of several of the cooperative ESA networks.

Based on the predominant tendencies of each network, the 31 systems were classified as follows: 1/

1/ It is to be recalled that data on the state systems of ESAs were received on all 11 special district, all 7 regionalized SEA/ESA, and all 13 of the cooperative systems. Data received on the individual ESAs in each type were: Special District = 208 of 368, or 56.5 per cent; Regionalized SEA/ESA = 36 of 37, or 97.3 per cent; and, Cooperative = 70 of 96, or 72.9 per cent. Thus, for example, what are regarded as relatively strong state systems for 4 of the 11 special district networks (Iowa, New York, Pennsylvania and Texas) are considered here to be equal to the remaining 7 systems of this type in discussing tendencies of all special district networks. Similar differences are to be found among the regionalized SEA/ESA and the cooperative networks. These differences, where they exist, are not accounted for in the approach used.

Type of ESA and State	Title of Units
Type A: SPECIAL DISTRICT ESA	
1. California	Office of County Superintendents of Schools
2. Illinois	Educational Service Region
3. Iowa	Area Education Agency
4. Michigan	Intermediate School District
5. New York	Board of Cooperative Educational Services
6. Ohio	County Office of Education
7. Oregon	Education Service District
8. Pennsylvania	Intermediate Unit
9. Texas	Regional Educational Service Center
10. Washington	Educational Service District
11. Wisconsin	Cooperative Education Service Agency
Type B: REGIONALIZED SEA/ESA	
1. Massachusetts	Regional Education Center
2. New Jersey	Educational Improvement Center
3. New Jersey	County Superintendent of School
4. Ohio	Special Education Regional Resource Center
5. Ohio	Field Services Area Coordinator
6. North Carolina	Regional Education Center
7. Oklahoma	Regional Education Service Center
Type C: COOPERATIVE ESA	
1. Alaska	Regional Resource Center
2. Colorado	Boards of Cooperative Services
3. Connecticut	Regional Educational Service Center
4. Georgia	Cooperative Education Service Agency
5. Indiana	Education Service Center
6. Maryland	Regional Education Service Agency
7. Massachusetts	Educational Collaborative
8. Minnesota	Educational Cooperative Service Unit
9. Nebraska	Educational Service Unit
10. Ohio	Regional Education Service Agency
11. Rhode Island	Regional Vocational Technical Facility
12. South Carolina	Education Service Center
13. West Virginia	Regional Education Service Agency

Approaches Used in the Discussion

The following procedures are used in the 5 discussions:

1. They focus on tendencies of the 3 types of ESA networks, rather than on the individual state systems of each type. This approach is consistent with one of the overriding objectives of this exploratory study, which was to determine whether or not patterns are evident in the workings of education service agencies. The exclusive use of types of ESA networks is viewed to be highly beneficial in attaining this objective. Moreover, giving prominence here to state systems could result in premature efforts to compare individual state arrangements. However, it is felt that many of the topics, as well as the approaches used here, will contribute substantially to the ultimate development of an evaluation design that would allow meaningful comparisons to be made between state systems, as well as between types of networks.

2. In each of the 4 discussions, multiple use is made of many of the selected characteristics, either singularly or in combination.

3. A number of the exercises employ the terms "tends to be true" or "tends not to be true". The characteristic cited was considered "tends to be true" if reported for a majority of the individual state systems in each of the 3 types, and conversely, "tends not to be true" describes characteristics reported for less than a majority of the individual state systems of each type of network. Minority responses to a specific characteristic may be because the item does not apply to one or more state systems, or it may not have been answered by one or more of the respondents and the cause for non-responses could not be determined. In structuring the discussions, consideration was given to the first of these 2 possible explanations for minority responses. The second concern, the most response to an item appropriate to a state system, is an important limitation on this exploratory study. It explains why much of the discussion is framed as observations concerning the workings of ESAs, rather than as conclusions.

4. With the exception of the discussion of perceived major strengths and weaknesses of types of ESA networks, no attempt has been made to weight the relative importance of the selected characteristics which serve as the focus of each discussion. Many of the characteristics are clearly more central than others and a weighting system would strengthen the observations. However, a uniform weight was assigned each characteristic, or combination of characteristics, because of the exploratory nature of this descriptive study.

5. Moreover, other critical dimensions of the characteristics, such as their quality and/or their effectiveness, are also not generally attempted in the discussions. As established elsewhere, these important considerations were not pursued in this exploratory study. However, some quality dimensions are present in the base line data (e.g., the comprehensiveness of the programs and services, the comprehensiveness of staff), and these are used in a limited way.

The focus of the discussion which follows is on the 3 types of ESA networks, in order to show patterns and trends, as well as structure further and more precise research and development activities. However, one major disadvantage of this procedure should be noted. The focus on types of networks obscures differences among the state systems, and within an individual state system. It ignores the substantial differences that do exist among the state systems of each type on many of their operational features.

II. TENDENCIES OF THE THREE TYPES OF ESA NETWORKS THAT APPEAR TO BE RELATED TO SELECTED CHARACTERISTICS

Introduction

As established previously, emphasis in this initial portion of the discussion is given to the tendencies of the 3 types of ESAs that related to each of the following 9 categories:

1. Selected establishment;
2. Selected governing boards;
3. Selected executive officers;
4. Selected organization and management;
5. Selected finances;
6. Selected programs;
7. Selected staffing;
8. Selected physical facilities; and,
9. Selected SEA/ESA relations.

Selected Establishment Characteristics.

Concerning the number of existing ESAs, year initially established, number of member publis LEAs, and selected characteristics of the region served, it is observed that:

1. A significant number of education service agencies were in operation in 1977-78 in the 26 states included in this investigation. The number of individual units (619) making up the 31 networks represent a substantial number of governmental subdividisions, even when the regionalized SEA/ESAs and cooperative ESAs, some which can in many ways be viewed more as extensions of existing agencies rather than as separate governmental entities, are deleted.

Also, the ESA units and networks focused on in this study were drawn from a larger number (969 individual units and 35 networks) reported to be in existance. A further measure of the significant growth of service type agencies in elementary-secondary education is to compare this development with that in other public service fields. While meaningful comparisons of this type are difficult, it appears that regional developments in education at least parallel those in many other public service fields.

2. The establishment of ESAs is not only extensive but is a relatively recent trend in the structure of many of the state systems. A majority of the networks were established in the past 15 years. As a group, special district ESAs are the oldest, reflecting, in part, the replacing of many of the networks of this type for existing middle echelon units.

3. While the compelling reasons for state and/or local action to establish an ESA network were not probed in this study, the recent widespread interest in ESAs tends to parallel one or more of the following widely recognized and well documented developments in education: (a) a growing recognition of the inability of many LEAs to respond to new priorities; (b) a growing recognition of the limitations surrounding the move to reorganize small LEAs into larger administrative district (c) a growing recognition of the limitations of many of the previous middle echelon units, the traditional county school system; and, (d) a growing awareness of both the responsibility and the potential of a more active role by the state education agency in improving the state system of elementary-secondary education.

4. A large number of considerations obviously influenced the type of ESA network functioning in a state school system in 1977-78. A consideration of these factors is beyond the scope of the exploratory study. However, a number of observations concerning these decisions are offered. In the first instance, the traditional state-local relations was no doubt an important consideration. That is, regionalized SEA/ESAs tended to be established in states having relatively active state education agencies. Where regionalized SEA/ESAs are in place, the development of cooperative ESAs tends to be limited (except in Massachusetts, where, by deliberate choice, both types are being simultaneously encouraged.) Moreover, states having a traditional middle echelon network that was well grounded in legislation but generally provided administrative functions only re-shaped these networks into more balanced service agencies, or are in the process of doing so. And, many states without a traditional middle echelon unit and/or without a relatively active state education agency, have opted for cooperative ESAs as either a first step in a long-term evolutionary process or as a permanent arrangement. Or, states maintaining cooperative ESAs may be reluctant to establish a special district or regionalized SEA/ESA network, so the cooperative arrangement may be as the only viable structure possible.

5. Of the 3 types of service agencies operating in the 26 states in 1977-78, the special district units were the most prevalent. This may be due to the tendency of states with middle echelon units of school government, most typically county school systems, to replace them with a special district ESA network. A substantial majority of states with special district ESA networks previously operated a county school system. Conversely, only a few of the states with a regionalized SEA/ESA network have or formerly maintained a county system,

and, only a minority of states with a cooperative ESA network had prior experience with a middle echelon unit or school government.

6. There is a relationship between the type of network and the extent of development or statewide coverage of the service agencies. A substantial majority of the special district networks and all of the regionalized SEA/ESA systems were statewide in scope in 1977-78. However, only a small number of cooperative ESA networks included all public LEAs in the state, although planning in 2 additional systems will result in the future.

7. There is a tendency of states to establish only 1 type of service unit rather than multiple systems. This is especially true of states with special district ESA systems and/or those states establishing any kind of a network in recent years. This pattern suggests that policy planners recognize the value of concentrating resources in a single unit in order to make the delivery of services efficient and effective. Moreover, the tendency of policy planners in some states to create multiple service networks, most typically single-purpose systems, is subject to question. While this practice may have been precipitated by default or the hesitancy of an existing network to assume a new function, or an existing network being prohibited from assuming a new function, a number of potential negative consequences could result from multiple service systems within a single state. Chief among these are the fracturing of planning and cooperative efforts among units of school government; the deletion of both human and fiscal resources that can be brought to bear on issues; many of which are multi-faceted in nature; increased confusion on the part of public LEAs, the assumed primary recipient of many of the services; increased confusion on the part of the public; and, awkward relationships among the service agencies.

8. The number of individual units in states having a statewide system of ESAs is related to the type of service agency and the age of the system. Special istrict ESA networks are generally composed of a larger number of units than is true of the statewide regionalized SEA/ESA systems, or the statewide cooperative networks. This tendency is related to the fact that a number of these systems are still organized on the basis of the political boundaries of county government, or they replaced a former county school system and tended not to deviate extensively from the original geographical configuration.

9. The type of ESA network influences the membership status of public LEAs in an ESA. All public LEAs in the states operating regionalized SEA/ESA held membership in an ESA in their respective states. This was also the case for a majority of the special district systems. However, it was true of only of the 13 cooperative ESA systems. This probe focused on public LEA membership status only. It does not mean that LEA participation in the programs of an ESA is necessarily also mandated.

10. The legal basis for membership of a public LEA in an ESA network varies according to the type of network. LEA membership is mandatory in a strong majority of special district networks, a simple majority of regionalized SEA/ESAs, but is permissive in a strong majority of cooperative systems.

11. The size of enrollment of public LEAs does not account for membership status in an ESA. A greater percentage of smaller LEAs (less than 300 students) were nonmembers than members. Conversely, a greater percentage of larger districts (25,000 or more students) were nonmembers than members. This latter point is not surprising. What is surprising is the relatively extensive nonmember status of small LEAs, one of the assumed prime benefactors of education service agencies.

12. Most of the individual ESAs serve regions described by their executive officers as largely urban or largely urban-suburban-rural. These perceptions of the dominant characteristics of the region served by the ESA held true regardless of type of network.

13. The influence of federal legislation in the establishment of ESA networks was not a focus of this study. However, federal incentives for collaborative action by groups of LEAs were significant in establishing precedents for the creation of a number of cooperative ESA networks. In addition, it would appear that federal incentives were significant in both establishing and maintaining a number of the regionalized SEA/ESA systems, as well as maintaining a number of the special district networks. These latter contentions are supported by the relatively extensive use of federal monies by units of these 2 types to support program initiatives given prominence in federal legislation.

Concerning procedures for the establishment of ESA networks and planning activities used, it is observed that:

14. As might be expected, enabling legislation was the primary vehicle used to establish the ESA networks in a substantial majority of cases. However, the use of mandatory legislation was extensive for special district and regionalized SEA/ESA networks. Conversely, as might be expected, permissive legislation was used exclusively to establish the cooperative networks.

15. The use of 2 or more required approvals to establish an ESA network appears to be related to the type of service unit. In the establishment of a substantial majority of regionalized SEA/ESA systems, approval was required of 2 or more agencies, in these cases, all state level agencies. And a substantial majority of cooperative networks for which data is available had to have 2 or more approvals. On the other hand, the establishment of special district systems was less rigorous in that only a minority of these networks, for which data is available, had to be approved by 2 or more agencies.

16. The involvement of LEAs in approving the establishment of an ESA also appears to be related to the type of service unit. As might be expected, LEA approval was required in a substantial majority of cases for cooperative ESAs for which data is available. However, only a few of the special district or regionalized SEA/ESA networks were subjected to approval by LEAs.

17. The use of a state plan specifying certain guidelines for the establishment of the networks is related to the type of the network. Whereas all regionalized SEA/ESA and a substantial majority of special district ESA networks were products of a state planning document, only a simple majority of cooperative ESAs were. Moreover, the responsibility for development of the state plan for both the regionalized SEA/ESAs and the special district networks most typically rested with the state education agency and state board of education rather than some other state executive branch agency, or the state legislature.

18. The use of multiple criteria for specifying the geographic boundaries of the networks is most extensive and rigorous for special district and regionalized SEA/ESA systems. Concern for the need to have adequate enrollment in public LEAs in the region to be served by the networks was uppermost in the minds of those developing the state plan. Prominence was also given to the issue of accessibility (measured in this study as travel time in hours or distance in miles from the ESA center to member LEAs).

Concerning the initial primary missions and subsequent missions changes, it can be observed that:

19. Little difference among types of networks is noted in the thrust of the initial primary missions of the systems. The general charge of all typically related to the goal of improving the quality of education generally, or improving the quality of specific programming for special target populations or specific functions such as handicapped children or vocational/technical education. The mission statements of a number of special district ESA networks that replaced an existing middle echelon unit tend to be essentially the same as those of the units replaced. The mission statements of a number of the cooperative networks tend to establish as one of their goals the securing of federal funds. This may be due to incentives for collaborative action in the federal legislation, or it may be due to the fact that a number of cooperative systems replaced units formally funded almost exclusively by federal legislation, such as Title III of the Elementary-Secondary Education Act of 1965.

20. The present mission statements of ESA networks are not a major handicap as few mission statements have reportedly been altered since their initial pronouncement, even though the programs and services of the units have tended to grow extensively. Where major additions have been made, they tend to relate to the use of the networks in implementing new state mandates.

Concerning methods and procedures for creating new, or altering or dissolving existing ESA networks, it is observed that:

21. A surprising number of states apparently do not have provisions in place for creating new or adding to the existing number of ESA units. Thus, they may be locked into an arrangement that cannot be quickly altered, short of initiating new legislative action, or SEA or state board action, to meet changing conditions that may cause a reassessment of the adequacy of the number of operating units. The widespread absence of established procedures to create new or add to the existing number of units in a state system held true regardless of type of network.

22. On the other hand, a majority of the networks of all types are governed by provisions to alter the boundaries of existing units, an arrangement viewed to be different from the creation of new or adding to the number of existing units. These provisions are most typically found in the enabling legislation establishing the units or in SEA regulations governing the operations of the units. Closely related, a majority of the units of all 3 types are governed by provisions for changing the membership status of an LEA in the service unit. Provisions of this type also are well defined in that the source of this authority is most generally specified in the enabling legislation.

23. And, while in the minority, a surprising number of networks are without provisions for dissolving an existing unit. The majority of networks not governed by such provisions were regionalized SEA/ESAs. This may be due to the fact that these systems are viewed as a creation of the SEA, although in several instances, concurrence by the state legislature was required to establish the system.

Concerning the future planning for the units, it is observed that:

24. There is widespread support by SEA personnel for the number of existing units comprising each of the networks. In only 3 cases will the number reportedly be either increased (Alaska and Indiana) or decreased (Michigan) in the future.

Selected Governing
Board Characteristics

Concerning the number of units having a governing board, the legal basis for their existence, and the process used for their selection, it is observed that:

1. A long standing tradition in American education, the use of governing boards to manage the affairs of public educational institutions, is well established with regard to one of the newest members of the educational community, the ESAs. That is, all of the special district networks and all but one of the cooperative systems have a governing body. Commitment to this tradition is further reinforced by the fact that, in a substantial majority of instances, the legal basis for governing boards is found in the enabling legislation establishing the units.

2. The one exception is the regionalized SEA/ESA systems where less than a majority have a governing board. The absence of governing bodies for a majority of these units may be a reflection of the view that regionalized SEA/ESAs are an extension of the state education agency and the governing body with jurisdiction over the state unit serves as the agency with responsibility for the management of the service units.

3. Tradition is also significant in the methods used to select governing bodies of ESAs. All of the boards of the special district networks are elected, rather than appointed.1/ As previously discussed, a substantial majority of these systems replaced a former county school system where the election of governing boards was the prevailing practice. In the establishment of the new units, this tradition carried over. Similarly, a majority of the small number of cooperative networks using the election process were also preceded by a middle echelon unit that generally had elected governing bodies. Another possible explanation for the use of the election method is that many of the networks using this practice were established in the mid and late 1960's, when interest in the constitutional issue of the one-man, one-vote principal was widespread.

4. As might be expected, the involvement of public LEAs in the appointment of members of ESA governing boards is most apparent with regard to the cooperative networks. This practice appears to be highly compatible with the view that the cooperative ESAs are formed to essentially serve the needs of members of the consortium.

5. There is no dominant pattern with respect to the size of membership of a governing board of an ESA and the type of network it can be generalized, though, that in a majority of instances variations in the size of membership exist between units in the same state network. These variations are primarily due to different practices used to select members, especially the use of alternative appointment procedures.

6. There is some relationship between the type of ESA network and the term of office of members of governing bodies. The term of office of governing bodies of special district ESAs tend to be longer than the other 2.

7. No patterns between types of networks are evident with respect to restrictions on the number of terms of office, qualifications of members, or the compensation of members. With respect to the latter 2 topics, the prevailing practices governing the qualifications and compensation of members of governing boards of local education agencies hold true for ESA governing bodies.

Concerning selected demographic characteristics of members of ESA governing bodies, it is observed that:

8. No patterns among types of networks are evident with respect to the sex distribution of board members, their ethnic composition, or prior experience of members on another education body. The lack of representation of ESA governing boards of females, and members of ethnic groups other than Caucasions is consistent for each of the 3 types of networks. Their representation is lower than that found on other

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1/ Members of the governing board of one of the 58 units in the California network are appointed by the County Board of Supervisors.

governing bodies of local education agencies. Several factors may explain this pattern. The planned or unplanned lack of visibility of many of the networks may cause them to be less prominent in the view of the public. Moreover, the relatively widespread use of the appointment process for selecting members may also be a factor, especially in networks where the appointments are made from the chief executive officers of member LEAs. The predominance of males as chief executive officers of local units is well established. In situations such as these, the low representation of females may be one of the consequences of an overriding objective of making the service unit responsive to the needs of LEAs, in this instance, through the appointment of the chief executive officer from member districts.

Concerning the number of units having ex-officio board members, their method of selection, and legal basis for existence, it is observed that:

9. The use of ex-officio members is not extensive in any type of network. However, all but 1 of the 5 networks making use of ex-officio members are cooperative ESA systems.

10. In a majority of the few instances where ex-officio representation is provided for, the state education agency is involved in the appointment process. This stems from a desire by the state agency to improve coordination between the state unit and the ESA, or may reflect a desire of the state unit to promote logistical support for the ESA.

Concerning the authority of ESA governing boards over constituent LEAs, it is observed that:

11. Only 3 networks, all of the special district systems, possess authority to approve one or more aspects of LEA operations. Where it exists, the tendency is to restrict the authority to those areas where the service unit is carrying out a long standing responsibility clearly related to a state mandate that has been in place for a lengthy period of time, and/or, in those areas where the state has designed ESAs to serve in a coordinating, or as a first-line review agency.

12. The absence of authority over LEA operations by regionalized SEA/ESAs would appear to be a reflection of a commitment by the state to use their service agencies to improve and/or facilitate communication and coordination between the state and local units, as well as reflect a general reluctance not to delegate the state's monitoring authority to another, perhaps, quasi-legal agency. The absence of authority over LEAs by the cooperative networks is highly consistent with the view that these agencies serve member LEAs.

Selected Characteristics of Executive Officers

Concerning the legal basis of the position and prescribed duties of executive officers, it is observed that:

1. There appears to be some relationship between the types of network and the legal basis for the position. The legal basis for a substantial majority of the executive officers of special district and regionalized SEA/ESAs is the enabling legislation creating the networks. This is in contrast to the positions of executive officers of cooperative ESAs, where a range of sources were cited as authorizations.

2. The constitutional basis for the position of executive officer of the California special district ESAs represents a paradox. On the one hand, the well guarded origin of the position no doubt provides a degree of stability and legitimacy not duplicated elsewhere. Conversely, efforts to alter the role and function of the office to meet new demands in the state school system would appear to be more difficult and complex than in other situations.

3. There is some relationship between the type of network and the extent to which duties of the executive officer of a service unit are prescribed in legislation, or in SEA rules and regulations. A majority of the special district and regionalized SEA/ESA positions have duties specified in one or both of these sources. This pattern is consistent with the mission of units of these types. On the other hand, only a small minority of the executive officers of the cooperative systems have duties prescribed in legislation, or in rules and regulations of the state education agency or other state unit. This pattern also is highly consistent with the mission of the units.

4. Closely related, and as might be expected, there is a relationship between the type of unit and the designation of the executive officer as an agent of the state. More chief executive officers of special district and regionalized SEA/ESAs are viewed as agents of the state than their counterparts in the cooperative ESAs.

Concerning the authority of an ESA executive officer over the operations of constituent LEAs, it is observed that:

5. There is a slight relationship between the authorization granted an ESA executive officer to review LEA operations and the type of service unit. While few positions hold this authority, those that do are concentrated in the special district and regionalized SEA/ESA systems. Possible explanations for the presence or absence of the authority of executive officers to review LEAs functions are similar to those governing board authority over LEAs.

Concerning the method of selecting ESA executive officers, it is observed that:

6. A prevailing tradition in American education, the appointment, rather than the election of chief executive officers of educational institutions, is well established with respect to ESAs. A substantial majority of the positions in all types of units use this selection process.

7. In only one complete network, Illinois, do the voters of the ESAs directly participate in the general election of the executives. Voter participation in the election of the executive officers of the Illinois ESAs would appear to be difficult to support from several overriding perspectives, even though this practice potentially provides a degree of political accountability not present elsewhere. The questionable nature of the practice, which has a long tradition in the state, stems from the fact that the position is at present primarily responsible for implementing initiatives and activities which are state, not regional, in origin. Moreover, local education agencies, as corporate entities, are the primary recipients of these state initiated efforts. The local education agency is also the primary target for those ESAs activities which represent voluntary initiatives by either the ESA or clusters of LEAs in the region served.

8. In the appointment of executive officers, the governing boards of the ESAs tend to act unilaterally. This pattern is true regardless of type of network. LEAs participate in the appointment in only a few instances and the majority of these cases are for executive officers of cooperative ESAs, as might be expected. However, while the governing boards of several regionalized SEA/ESA and cooperative ESAs act unilaterally, these boards are composed of representatives of LEAs, and the latter's involvement is thus possible. The participation of the SEA in the appointment process is limited. Where this does occur, it is most prevalent with respect to regionalized SEA/ESAs, as also might be expected.

Concerning the nature of experience requirements for the position of ESA executive officer, basis of employment, and length of initial contract, it is observed that:

9. There is little relationship between the presence or absence of a requirement that an executive officer have prior teaching and/or LEA administrative experience as a condition for employment and the type of network. A majority of positions in all 3 types of networks carry these stipulations.

10. There is some relationship between the basis of employment and type of network. In a majority of special district and cooperative networks, a formal contract is used. However, a majority of regionalized SEA/ESA networks use employment procedures other than a contract or resolution of the governing board. This practice would appear to be related to the fact that executive officers of these units are state employees and are most typically governed by civil service provisions.

11. Similarly, there is some relationship between the length of the initial employment period and type of ESA network. Multi-year contracts are more common for the position of an executive officer of a special district ESA than in regionalized SEA/ESA or cooperative systems. The near absence of extended contract periods for executive officers of cooperative ESAs is consistent with the one year planning cycle typically found in cooperative ESAs. Whatever the cause, the typically annual

contracts of executive officers of cooperative ESAs is a serious constraint on the organizational stability of these units.

Concerning certification and tenure practices associated with the positions, salary and fringe benefit practices, and the evaluation of executive officers, it is observed that:

12. There is some relationship between the nature of certification requirements for the position and the type of network. While most positions in all 3 categories require one of the traditional certificates governing the licensing of leadership personnel in public education, a greater percentage of executive officers of cooperative ESAs have no certification prerequisites than those in the other 2 systems.

13. However, there is little relationship between the type of network and whether or not the position is tenured. A substantial majority of all 3 types are nontenured.

14. There also is a relationship between the type of service unit and the salary and fringe benefits received by the executive officers. The salaries and benefits package of executive officers of special district ESAs are substantially greater than those in the other 2 networks. This does not appear to be related to the traditions of the state, its geographic location, age of the service unit, or the source of monies used to compensate the position.

15. There also is a relationship between the type of service network and the requirement that the position be subjected to a formal evaluation, most typically on an annual basis. While a majority of positions of all 3 types have this requirement, a substantially greater number of regionalized SEA/ESA networks have the requirement than the other 2 networks. This may reflect the prevelancy of required evaluations associated with civil service programs of state government.

Concerning the sex and ethnicity of executive officers, experience background and longevity in the position, it is observed that:

16. There is little relationship between the type of network and the ethnicity of executive officers. The substantial majority of all types are Caucasian. This pattern also is consistent with the prevailing pattern in public elementary-secondary education.

17. There is also comparability between the 3 types of networks in that: (a) most of the executives of all types have had prior LEA experience as teacher and/or administrator, (b) a minority of all types have had prior SEA experience, and (c) a minority have had prior experience in other public or nonpublic agencies.

Selected Organization and Management Characteristics

Concerning the planning practices of the ESA units; it is observed that:

1. There is little relationship between the type of network and the presence or absence of a planner (s) on the staff of individual ESA units comprising the network. A majority somewhat greater, in the regionalized SEA/ESA units, have a staff planner.

2. However, the degree to which the ESA staff planner(s) assist local education agencies in planning and the distribution of the staff planner(s) time and energy between ESA and LEA related activities is influenced by the type of unit. While a majority of all ESA staff planners, regardless of type of unit, assist LEAs staff planners, this practice is more prevalent for units of the special district and regionalized SEA/ESA networks. Similar tendencies exist with regard to the distribution of time and energy of the ESA staff planner(s) on LEA planning activities. Possible explanations for these patterns include: the designation of many of the special district and regionalized SEA/ESA units as the provider of technical assistance to LEAs; and, the involvement of many of the special district units in various phases of state mandated activities, many of which require planning.

Concerning the management information system (MIS) maintained by ESA units, it is observed that:

3. There is a relationship between the type of unit and the presence or absence of information systems about individual LEAs served by the unit. While a majority of service agencies of all types maintain such a system, a greater percentage of the regionalized area SEA/ESA units have a more comprehensive system than the other 2 networks. This tendency would appear to be a manifestation of the relatively ambitious efforts made in recent years, supported in many ways by federal activities and monies, to upgrade the quality of management information systems in state education agencies.

4. There also is a relationship between the type of unit and the inclusion or omission of characteristics of the region served by the ESA unit in its management information system. While only a minority of units, regardless of type, include these data in their systems, a greater percentage of the specialized districts maintain a more comprehensive profile than do units of the other 2 networks.

Concerning the written communication practices of ESA units, it is observed that:

5. There is a relationship between the type of units and the exchange of written communication by the service agency with local and regional organizations. While all units in the 3 types of networks communicate with public LEAs, a greater percentage of special district and regionalized SEA/ESAs agencies than cooperative agencies have written communication with nonpublic schools, public postsecondary institutions, and local and regional governments. The lower percentage of cooperative ESA's exchanging written communication with such agencies may be due to the assumption of this task by member LEAs, or it may be due to the single or limited purpose function of many of the cooperative systems. These would ordinarily have less cause to relate to other local or regional agencies than would a unit with more comprehensive programming activities.

6. There is some relationship between the type of unit and the extent to which the units engage in written communication with state and federal level agencies. A greater percentage of special district and cooperative ESA units than regionalized SEA/ESAs have communications with the legislative and executive branches of state government and federal agencies. These patterns are no doubt due to the more independent status of special district and cooperative units vs. regionalized SEA/ESAs, and the tendency, and need, of the parent state education agency to assume responsibility for the coordination of all communication practices aimed at external audiences.

Concerning the extent of use, by type of ESA units, of management teams, it is observed that:

7. There is some relationship between the type of unit and the use of management teams. A majority of the special district and cooperative units make use of this management strategy, and thus recognize the need for some forum or platform for addressing the intergration/differentiation issue that is critical in education service agencies where specialization of program and staff is typically extensive. The widespread absence of teams in regionalized SEA/ESAs may be due to the fact that many of the specialists of these units may be members of an organizational arrangement coordinated by the comparable specialist in the state education agency.

Concerning the use of advisory groups, their legal basis, and their composition, it is observed that:

8. There is a relationship between the type of unit and the presence or absence of advisory groups having responsibility for general ESA operations. A majority of 2 types of units, the special district and cooperative ESAs, maintain general advisory groups that are most typically permanent rather than ad hoc. In both instances, representatives of public LEAs, especially the chief executive officers, predominate. Both types are also similar with regard to the limited use of other than public LEA staff or board members on general advisory groups, the relatively extensive use of general advisory bodies by special district ESAs may be explained in part by the fact that a greater percentage of units of this type are required by statute or SEA regulation to maintain such bodies.

9. There is a relationship between the type of unit and the presence or absence of advisory groups responsible for ESA budget operations. While in the minority in both instances, a greater percentage of special district units have such groups than do cooperative ESAs. Where advisory groups exist, they are dominated by the executive offers of public LEAs, regardless of type of unit. The relatively extensive use of permanent advisory bodies by special district units may also be explained by the fact that a greater percentage of these units are required by statute or SEA regulation to maintain such groups. The almost total absence of groups of this type in regionalized SEA/ESAs is consistent with the mission of these units, as well as reflects the origin of monies to finance programs administered by these units

10. There is no relationship between the type of unit and the presence or absence of advisory groups for general programming activities. Few units, regardless of type, make use of an advisory group having responsibility for general ESA services. The widespread absence of groups of this type may reflect the assumption of this role by either the general advisory body or the budget advisory groups, where they exist. Or it may reflect a lack of perceived need for such a group, even by ESAs operating a relatively comprehensive package of programs and services.

11. And, there is a relationship between the type of unit and the presence or absence of 2 special purpose advisory bodies, those for programs for handicapped children and those for vocational education. As might be expected, more of these advisory bodies are to be found in special district and cooperative ESA than in regionalized SEA/ESAs, the majority of whom tend not to operate programs in these 2 areas, but rather limit their functions to general planning and/or the provision of technical assistance. Where such advisory bodies are in place in special district and cooperative units, little differences exist between the 2 types of agencies with respect to 3 key points. Both types tend to be permanent rather than ad hoc; to be composed of public LEA representatives, especially chief executive officers; and, to be the result of statutory and/or SEA requirements.

Selected Financial Characteristics

The following observations are offered concerning selected financial characteristics of both the special district and cooperative networks. A discussion of the funding arrangements for regionalized SEA/ESAs is excluded here because of the limited financial data on these systems, and because the financial aspects of networks of this type are ordinarily subsumed within the general budget of the SEA and are not usually earmarked for the operation of the units.

Concerning the authority of the units to levy direct taxes to support their operations, it is observed that:

1. There is no relationship between type of network and authority to levy taxes, in that a majority of units of the 2 types are denied this means of funding their operations. Moreover, limitations are placed on the few networks, the majority of which are special district, who do possess this authority. Where taxing authority exists, it is available for administrative costs, the acquisition of space, and for underwriting the costs of specific services offered by the unit. The lack of authority to tax by all but one of the cooperative networks is consistent with the prevailing organization characteristics of these units. In most cases where the special district networks are able to levy taxes, the predecessor middle echelon unit that the network replaced also possessed the authority. The widespread absence of a degree of fiscal independence by a majority of the special district and cooperative networks would appear to place these systems in an extremely weak short-range and long-range planning mode. However, this practice tends to result in a high degree of accountability of the units through periodic review of the service agencies by their funding sources.

Concerning state funding of the 2 types of units, it is observed that:

2. There is no relationship between the type of network and state funding of the units in that a majority of systems of the 2 types received state financial support in 1977-78. However, the majority of units which did not receive state funds were cooperative ESAs. The widespread practice of the use of state monies to support ESA operations reflects a degree of state commitment to the welfare of the units, although the adequacy of state support, a consideration beyond the scope of this study, is not known. Nonetheless, the precendent for state support is well established.

3. However, there is a relationship between the type of network, the amount of state aid on 1977-78, and the per cent of total expenditures of the units that were received from state sources. Both the amount of state aid in dollars, and, more importently, the per cent of the total expenditures received from state sources are substantially greater for special district units than for cooperative networks. The larger percentage of total expenditures received by special district units from state sources would appear to reflect the relatively extensive involvement of these units in administering programs for the state.

4. There also is a relationship between the type of network and the percentage change in state funds received from 1974-75 to 1977-78. A substantial majority of special district networks experienced moderate increases in state funding between these 2 time periods, whereas, a mixed picture is true of cooperative networks. The widespread increase in state monies recieved by special district units may reflect both an increased commitment to these units by the state,and the greater use of these units to implement new state priorities.

5. There is no relationship between type of network and the primary variables used in the state formula for funding ESAs, the procedures used in distributing state aid, and the conditions and/or limits on state aid. In part, the sparsity of data on these topics precludes the determination of any patterns.

Concerning federal funding of the special district and cooperative networks, it is observed that:

6. There is no relationship between the type of network and federal funding of the units in that a substantial majority of both types received federal aid in 1977-78. The widespread receipt of federal monies is consistent with many of the program thrusts of the units in implementing federal initiatives.

7. However, there is a mixed relationship between the type of network, the amount of federal aid in 1977-78, and the per cent of total expenditures of the units from federal sources. While the total amount in dollars was greater for special district units, the percentage of total expenditures that federal monies represented was substantially greater for cooperative networks. The greater dollar amount of federal

monies received by special district units would appear to be a function of their greater number and of their relative comprehensiveness. The greater percentage of total expenditures of cooperative networks derived from federal sources is consistent with the fact that many of these units were established in response to federal program initiatives. Whatever the explanation, cooperative networks tend to be much more dependent upon federal revenues than their counterparts, the special district units. As discussed previously, special district networks are highly dependent upon state support.

8. There is also a relationship between the type of network and the percentage change in federal monies received in 1974-75 and in 1977-78. Most of the special district networks experienced either moderate or extensive increases in federal funding between these 2 time periods whereas a mixed picture is true of cooperative networks to implement federal initiatives. It is significant that the percentage increase in federal funding for most special district networks from 1974-75 to 1977-78 was greater than the percentage increase of state monies for the same period.

Concerning the mean revenues of ESA units, it is observed that:

9. There is a relationship between the type of network and the percentage of mean revenues received by the units from within the ESA, from state sources, from federal sources paid through the SEA to ESAs, from federal sources paid directly to ESAs, and from non-revenue sources. While both received similar proportions of their revenue from within ESAs (special district 38 per cent and cooperative 36 per cent), and from federal sources paid directly to ESAs (6 per cent for special district and 5 per cent for cooperative networks), differences occur with regard to the remaining sources of revenue. As reported earlier, special district ESAs networks derived a greater percentage of their revenues from state sources than did cooperative ESAs (41 per cent and 28 per cent respectively.) As also reported earlier, cooperative ESAs networks received a greater percentage of their revenues from federal sources paid through the SEA to the ESAs than did special district ESAs (23 percent and 12 per cent respectively.) Cooperative ESA also derived a greater percentage of their revenues from non-revenue sources than did special district units (8 per cent and 3 per cent respectively). Possible explanations for these patterns have been previously identified. What is critical here is that ESA units of both types are dependent upon multiple sources for their financial support. This interdependency could be viewed as both a strength and potential problem. The multiple funding posture of many units handicaps the units in their ability to engage in long-range planning and program development without assurance of definite and reliable revenue sources, and makes them highly vulnerable to fluctuations in one or more support bases.

10. This latter point is reinforced when comparisons are made between type of network and the percentage change in revenue from major sources between 1974-75 and 1977-78. Whereas special district ESAs showed a greater percentage increases in federal revenues than did the cooperative ESAs, the latter experienced a greater percentage of growth in revenues

from within the ESA and from non-revenue sources. While these shifts reflect changes in the program mix of many of the units, they nonetheless illustrate the issue of the stability of funding alluded to previously.

Concerning budget expenditures of the units, it is observed that:

11. There is a relationship between the type of network and the total expenditures of the units in 1977-78. As is to be expected, the generally more comprehensive special district ESA networks have expenditure levels considerably higher than cooperative networks. This pattern also tends to hold true for increased changes in expenditure levels from 1974-75 to 1977-78.

12. Moreover, as might be expected, there is a relationship between the type of network and the total dollars expended for each of 26 program areas used in the study. The greater number, and generally more comprehensive special district ESAs, collectively expended substantially more for each program area than did the cooperative networks.

13. However, the cooperative ESAs collectively experienced a greater percentage increase in total expenditures for more of the 26 program areas between 1974-75 and 1977-78 than did the special district units. This may be due to the relative newness of many of the cooperative networks.

Concerning other financial characteristics of ESAs, it is observed that:

14. There is no relationship between the type of network and methods used to allocate costs for services provided by the units. In a majority of cases of both types, the prevailing practice for most services is to base costs on a per pupil served basis, or on the total student population of the LEA. These tendencies would appear to reflect a desire to achieve a degree of equity in allocating costs. This is especially true of cost allocation formuli established in federal or state guidelines for many of the programs administered by the service units.

15. There is a relationship between the type of network and the use of a state prescribed budget calendar and other required procedures that must be followed in the development of a budget. As might be expected, a majority of special district networks operate under state requirements, whereas only a minority of cooperative networks do. The extensive use by special district ESAs of state requirements for budget planning is consistent with the relatively strong state interface with these units.

16. There is little relationship between type of network and state requirements calling for the participation of non-ESA level individuals or agencies in the planning or approval of the ESA budget. In only a minority of cases of both types are representatives of LEA level or state level agencies required to participate in budget planning. Moreover, voter approval of the budget is not required of any network of either type. LEA level or state level approval is required in only a minority of cases of either type. These patterns would suggest a relative degree of fiscal autonomy for a minority of units. This is not surprising for cooperative networks but is unexpected for special district networks.

17. There is no relationship between type of network and the existence of state provisions governing accounting and auditing practices. A substantial majority of networks of both types are governed by such requirements. This consistency of requirements reflects a long-standing practice whereby the fiscal processes of education institutions are well-guarded.

Selected Programming Characteristics

Concerning the programs and services offered by the units, it is observed that:

1. There is no strong relationship between type of network and the most frequently offered programs and services provided by the units. There was relative consistency between all types and the 7 most frequently offered program areas. These 7 were general ESA administration, education of pupils with handicapping conditions, media and library services, staff development, curriculum services, information services, and planning services. These same program areas were among the 10 most frequently offered program areas for each of the 3 types of networks. However, some differences between types of networks were evident in other frequently offered programs. Vocational/occupational education and data processing were offered by a greater percentage of special district networks than the other 2. Gifted and talented education, pre-Kindergarten education, and research and services were offered by a greater percentage of cooperative ESAs offered purchasing services than the other 2 types. Evaluation services were offered by a greater percentage of regionalized ESAs and cooperative ESA than was true of the special district units. The commonalities of programs among types of networks appears to reflect a consensus concerning the role of a service unit and the needs of LEAs and the state school system that can be met through the use of education service centers. Virtually all of the common program activities of service agencies appear to reflect widespread recognition of the value of economics of scale in the delivery of a service, or reflect activities whose quality is enhanced by collaboration.

2. There is a relationship between the type of networks and the provision of direct instructional services to LEAs in 1977-78. Virtually none of the regionalized SEA/ESAs offer programs where there was direct interaction between students and ESA staff in 49 different services in this category. In addition, while selected services within the category of education of pupils with handicapping conditions were among the 10 most frequent services used by LEAs that were offered by both special district and cooperative units, differences are to be noted in other popular services. That is, selected services within the category of vocational/occupational education were among the most frequently used services of special district units but not for cooperative agencies. In contrast, selected services in the category of pupil personnel services, along with federal programs, were among the most frequently used services of cooperative ESAs, but not for special district units. The lack of involvement of regionalized SEA/ESAs in providing direct instructional services is highly consistent with the primary mission of these units. The relatively heavy involvement of special district and cooperative ESAs in selected direct instructional programs

reflects both the economy of scale incentive and the quality incentive cited previously.

3. There is a mixed relationship between the type of unit and the provision of indirect instructional services to LEAs in 1977-78. Selected services within the categories of media and library services and professional staff development were among the 6 most frequently offered services by all 3 types of units. However, selected services within the category of pupil diagnosis/prescription were among the 6 more frequently offered services for both special district and cooperative ESAs but not regionalized units. For the latter, planning services, evaluation services, and research and development were prominent. The commonalities of patterns in indirect instructional services would also appear to reflect both the economy of scale motive and a desire to upgrade the quality of services needed by LEAs. The heavy involvement of regionalized SEA/ESA units in the related activities of planning and research, development and evaluation are consistent with the primary mission of these units.

4. There also is a mixed relationship between the type of unit and the provision of management services of LEAs in 1977-78. That is, selected services in the category of staff development were among the 8 most frequently offered services by all types of units. However, selected services in the categories of data processing, pupil personnel services, and certification were prominent for special district but not for the other 2 types. Prominent for regionalized SEA/ESA units but not the other 2 was information services. The cooperative units differed from the other 2 in that purchasing and research and development were among the 8 most frequently offered management services. Regionalized SEA/ESAs and cooperative units were comparable in their emphasis on evaluation services and planning services. These patterns appear to be consistent with other programming patterns of the units with respect to their apparent overriding objectives.

5. There is a relationship between type of network and the provision of services by special district and cooperative units to the state education agency. While the former tended to offer relatively extensive services, cooperative ESAs do not. The heavy involvement of special districts in the provision of services to the SEA reflect the twin role played by many of these units. The relative absence of services offered by cooperative units highly consistent with their primary mission of providing services to constituent LEAs.

6. There is a mixed relationship between type of network and the provision of services to nonpublic schools. All types tend to offer media and library services, education of pupils with handicapping conditions, federal programs, staff development, and curriculum services. However, special district, and not the other 2 types, also give prominence to vocational/occupational education. Evaluation services and information services are prominent for regionalized SEA/ESAs. Cooperative units tend to emphasize purchasing services. The commonalities of frequently offered services by all types of units would appear to be either a reflection of federal program mandates, or state aid provisions for non-public school students.

7. There is a relationship between the type of unit and the provision of services to agencies other than LEAs or the SEA. While only a small minority of units of any type offer services, virtually none of the cooperative units do. Where services are provided, they tend to be offered by special district units and tend to be limited to direct instructional services for adults. The relative absence of services to other agencies would appear to be a reflection of the primary mission of the units.

8. There is no relationship between type of unit and changes in the size of programs from 1974-75 to 1977-78. In a majority of instances, the size of the program increased from 1974-75 to 1977-78. This pattern held regardless of type of service -- direct instructional, indirect instructional, management services, services to the SEA, services to nonpublic schools, or services to other agencies. These increases would seem to reflect several converging forces: an increased awareness of the benefits of collaborative action; federal and state mandates and complimentary financial incentives; and increases in the ability of service units to deliver specialized programs of high quality. It should also be noted that the increased program commitments are somewhat greater than increases in ESA staffing for the same two-time intervals. This tendency would appear to reinforce the economies of scale motive that appears to dominate the rationale for the programming mix of service agencies.

Concerning other programming characteristics, it is observed that:

9. There is a relationship between type of network and the joint offering of programs and services with other agencies. While a majority of units of all types did not engage in joint programs in 1977-78, a greater percentage of special district networks did than the other 2 types. However, where joint programs were offered, differences in the collaborating agencies were evident among types of networks. While collaborative activities with another ESA or with post secondary institutions were common among all types of networks, the cooperative networks tended to engage in collaboration with LEAs to a greater extent than the other 2. The relatively more extensive use of joint programming by special district networks maybe reflective the more comprehensive focus of a majority of these units, thus increasing the potential for collaboration.

10. There is no relationship between type of network and the use of locally developed criteria for assigning functions to the service agencies in that few special district and cooperative units utilize such criteria. The near absence of the use of locally developed criteria for assigning functions to special district networks may be due to the relatively extensive existence of state developed criteria for units of this type, thus precluding, apparently, the necessity for locally developed efforts. The single-purpose nature of many of the cooperative networks may explain the lack of locally developed criteria for many of these agencies.

11. There is no relationship between type of network and the practice of assigning final legal responsibility for students who receive all of their instructional services from an ESA. The practice whereby the LEA where the student holds residence maintains legal responsibility is the prevailing practice for a strong majority of units offering direct instructional services.

This prevailing practice suggests that most agencies have resolved an issue having significant legal ramifications.

12. There is a relationship between type of unit and the existence of provisions governing LEA payment for services it requests, but subsequently withdraws the request. Approximately one-half of the special district units, and a similar per cent of the cooperative units, obligate an LEA to pay for a cancelled service request. In contrast, virtually none of the regionalized SEA/ESAs have this requirement. The relatively extensive lack of these provisions for special district and cooperative units would appear to place these units in a hazardous planning mode. The virtual absence of these provisions for regionalized SEA/ESAs reflects the nature of the financial support base used to pay for services offered by these units. That is, few regionalized SEA/ESA ordinarily charge an LEA for services.

Selecting Staffing Characteristics

Concerning the number of full-time equivalent staff members employed by the ESAs, it is observed that:

1. There is a relationship between the type of ESA and the size of the staff of the service units. The preponderance of staff members in 1977-78 were employed by special district units and the average size of units of this type was substantially greater than those of cooperative or regionalized SEA/ESAs. Several factors may explain this situation: First, and perhaps foremost, is that more special district ESAs than cooperative networks offer direct instructional services, especially programs for pupils with handicapping conditions, an area having low pupil-staff ratios. The relative comprehensiveness of these units would also account for more extensive staffing.

2. There is no relationship between the type of service unit and the assignment of staff to major program areas. As is to be expected, staffing assignments for the 3 types of service units were highly consistent with the relative ranking of the number of units of each type offering a service. This compatibility would appear to represent sound program management by units of all types. It should also facilitate the development of rough staff-programming norms, a task beyond the scope of this descriptive study.

3. There is no relationship between type of unit and the per cent of staff devoted to general ESA administration in that approximately 5 per cent of all staff of each type were so assigned. This tendency is highly consistent with the prevailing practice in public elementary-secondary education.

4. There is a relationship between type of service unit and changes in the size of staff from 1974-75 to 1977-78 for those agencies operating at both time periods. That is, a greater percentage of special district than cooperative units reported an increase in staff size. Regionalized SEA/ESAs tended to report decreases in number of staff. The causes of these shifts can be attributed to a number of factors: increases in requests from LEAs and the SEA (especially for special district units); legislatively originated new programs responsibilities (especially for special district units); and, shifts in federal funds (especially for regionalized SEA/ESA and cooperative units.)

5. There is a relationship between the type of service unit and the use of federal monies to employ categories of staff members. While the average per cent of full and part-time staff in 1977-78 is relatively extensive for all types, it is most pronounced with regard to cooperative ESAs. The impact of federal monies on the workings of ESAs of all types is perhaps most evident in this study in the staffing characteristics of these units.

6. There is a relationship between the type of service unit and the joint employment of staff with other public and nonpublic agencies. While a majority of all types do not have staffing arrangements, regionalized SEA/ESAs make relatively less use of these practices, followed closely by cooperative ESAs. The virtual absence of joint staffing by regionalized SEA/ESAs appears to be a reflection of the primary programming focus of a majority of the units. The potential for joint staffing for administrative services would ordinarily be substantially less than for one or more of the conventional programming service areas. The limited use of joint staff by cooperative ESAs is the function of the less comprehensiveness or single purpose thrust of many of these units. Conversely, the relatively widespread (but still in the minority) use of joint staffing by special district units reflects the more comprehensive programming mix of many of these units, thus increasing the potential for joint staffing.

7. There does not appear to be a relationship between type of unit and required certification of different categories of ESA staff in that a substantial majority of staff of all types of units must be certified as a condition of employment. This pattern appears to be consistent with certification practices governing employment in public education in most states.

8. However, there is a relationship between types of unit and tenure requirements associated with different categories of ESA staff. That is, a strong majority of all categories of regionalized SEA/ESA staff are not tenured. The major non-tenured positions for both special district and cooperative ESAs are administrators and supervisors. The virtual absence of tenure for regionalized SEA/ESA staff would appear to be due to the extensive coverage of these personnel by state civil service provisions.

Concerning collective bargaining practices in use in the 3 types of networks, it is observed that:

9. There is a relationship between the type of service unit and the presence or absence of legislation requiring, allowing, or prohibiting collective bargaining practices. Legislative provisions prohibiting collective bargaining, while not extensive, tends to be limited to special district units.

Concerning staff evaluation practices used by the 3 types of service units, it is observed that:

10. There is no relationship between the type of service unit and the prevalency of staff evaluation programs in that a majority of units of all types require such activities.

11. However, a slight relationship does appear to be present with regard to the type of service unit and the extent of LEA participation in the evaluation of ESA staff. As might be expected, LEA involvement in this regard is most extensive for cooperative units.

Concerning other staffing characteristics, it is observed that:

12. There is a relationship between the type of service unit and the prevalency of staff development activities sponsored by the units. A substantial majority offered activities for the benefit of their staff in 1977-78. However, a greater per cent of special district units and cooperative agencies expended a higher percentage of their annual budget on staff development than did regionalized SEA/ESAs. This pattern may reflect the tendency of many special district and cooperative units to enjoy a degree of fiscal autonomy not ordinarily present in a regionalized SEA/ESA unit.

13. There is a relationship between the type of service unit and the comparability of salaries paid ESA staff and those of LEAs. The salaries of special district administrators and supervisors, consultants and specialists, and teachers and clerical staff tend to be comparable to their counterparts in LEAs. The salaries of regionalized SEA/ESA and cooperative units tend to be lower than comparable LEA staff positions. The apparent poor position of regionalized SEA/ESAs may reflect the generally lower competitive posture of state government. The apparent poor position of cooperative units is difficult to understand. It would appear that the uncertainty generally associated with cooperative units would result in higher, not lower compensation, given the relative employment risks.

14. There is a relationship between the type of service unit and the extent of involvement of LEAs and/or the SEA in screening candidates for top level ESA administrative positions. That is, while a majority of LEAs are involved in screening candidates for administrative positions in regionalized SEA/ESAs and in cooperative ESAs, their involvement is limited in the case of special district units. Conversely, SEA involvement in administrator selection processes while in the minority in both cases, is more prevalent with regard to special district than cooperative units. The relatively strong presence of LEAs and the near absence of SEAs in the selection processes for cooperative units is highly consistent with the mission of the units and the general tendency of SEAs not to intervene in the working of the units. The greater presence of LEAs in the selection processes used by regionalized SEA/ESAs than for special district units may reflect a commitment on the part of SEAs to involve LEAs in the workings of the service units. Or, it may be a reflection of tradition in many of the special district units.

Selected Physical
Facility Characteristics

Concerning the acquisition of ESA-owned and/or the use of rented or lease space, it is observed that:

1. There is a relationship between the type of ESA network and authority to own physical facilities, the method of acquisition of such facilities, the rigorousness of approvals necessary to acquire facilities,

and the source of monies available to the networks to acquire ownership of space. A greater percentage of special district networks are authorized to own facilities than is true of cooperative systems (as might be expected, only 1 regionalized SEA/ESA network has this authority - the balance tend to be housed in space owned by another governmental jurisdiction). Moreover, while voter approval is only required in a minimal number of cases, all of these are special district networks. The greater rigidity faced by special district ESA networks is consistent with the tendency of units of this type to be more structured than the cooperative networks. And, while the types of networks which have authority to own facilities secure funds for this purpose from multiple rather than a single source, all of those networks without external funding support of any kind, are cooperative systems. The reliance of these units on internally generated sources of funding to secure ownership of space would appear to place an inordinate constraint on the ability of these units to engage in long-range planning.

2. There is no relationship between the type of networksand authority to rent or lease space. The governing boards of the units must authorize such practices in a majority of networks of all types, as might be expected.

3. There is a relationship between the type of network and the provision of rent-free space to house the programs and services of the ESA units. A greager percentage of cooperative units are provided rent-free facilities than is true of their counterparts in the other 2 networks. This pattern reflects several characteristics of units of this type: the less frequent ability of cooperative units to own facilities, the relatively comprehensiveness of many of these units resulting in their need for less space; and/or, the more temporal nature of many of these units. Or, it may be explained as a desire on the part of those responsible for maintaining the cooperative systems to provide a maximum degree of organizational flexibility, as this relates to the facility houseing the programs of the service units. The premise here may be that the establishment of a more permanent facility would lessen the flexibility of the collaborative to meet new programming priorities.

4. There is a relationship between the type of network and the use of satellite centers. A greater percentage of special district networks maintain satellite centers to house one or more of their programs than do cooperative or regionalized SEA/ESA systems. This pattern may reflect one or more of the following: the tendency of many special district networks to serve a larger geographic area than their counterparts, particularly many of the cooperative systems; the tendency of many of the regionalized SEA/ESA systems not to be as deeply engaged in delivering services to LEAs, thus eliminating or substantially reducing much of the rationale for establishing satellite centers; and/or, the relatively less comprehensiveness of many of the regionalized SEA/ESA and cooperative networks, thus, also reducing the necessity for delivering services from multiple settings.

5. There is no relationship between the type of network and the joint use of space with another governmental jurisdiction or quasi-public or private agency. Few units of whatever type are engaged in such practices. This pattern is due to the relatively limited number of joint programming and/or joint staffing practices between an ESA and another agency.

Selected Characteristics of SEA-ESA Relations

Concerning the SEA unit or office having primary responsibility for relationships with the ESA network, it is believed that:

1. There is a relationship between the type of network and the presence or absence of a single unit in the SEA having primary responsibility for SEA/ESA relations. While a single office exists in a majority of states having special district and cooperative systems, all 7 of the regionalized SEA/ESA networks relate to a single unit in their state agencies. The presence of a single unit in the state agencies having primary responsibility for relations with the ESA network may reflect the perceived need to improve coordination between the agency and the service units, many of which are deeply involved in program areas that cut across a large number of components of the state units. Conversely, the absence of a single unit with responsibility for ESA relations, even in instances where there is substantial interface between the SEA and ESAs, may merely be due to the traditions of the state unit regarding its internal organization. The relatively large percentage of cooperative ESA networks having a single unit in the state agency represents a paradox in that it would be expected that the need for coordination between the SEA and ESAs of this type would be less urgent, because of the generally lower volume of interaction between the 2 agencies. The presence of a single SEA unit in these instances may merely reflect the commitment of the state to enhance the welfare of ESAs.

2. There is little relationship between the type of network and the following characteristics of the unit of the state agency having primary responsibility for SEA/ESA relationships: (a) the status of the unit in the SEA most, regardless of type, are middle management; (b) the estimated percent of time spent annually by the head of the SEA unit on ESA responsibilities a majority, regardless of types, devoted less than 80 per cent; and (c), the number of full or part-time professional and clerical personnel assigned to the units in 1977-78.

Concerning the functions of the SEA units, it is observed that:

3. There is no relationship between the type of network and the extent to which the SEA unit coordinates ESA contracts and functions with other SEA units, and with other state level agencies. A majority, regardless of type, have these responsibilities. This prevailing pattern suggests that the improvement of coordination is one of the principal reasons for the creation of the office.

4. However, there is a relationship between the type of network and the extent to which the SEA unit coordinated ESA contacts with federal agencies, in that only a majority of offices in states maintaining regionalized SEA/ESA networks assume this role. This may be due to the tradition in many states with special district or cooperative networks of limiting the state agency involvement in ESA relations with the federal government.

5. Moreover, there is a relationship between the type of network and the assumption by the SEA unit of other program responsibilities other than for ESA related functions. While a majority of all SEA units do have other program responsibilities, this tendency is stronger in special district and cooperative states than in regionalized SEA/ESA systems.

Concerning the nature and extent of contacts between the state education and the ESA networks, it is observed that:

6. There is no relationship between the type of network and the frequency of contacts between senior level SEA officials and the ESAs in that, in a majority of instances, these officials were engaged in a relatively extensive number of contacts with a majority of the units.

7. However, there is a relationship between the type of network and the extent of participation of senior level SEA officials in statewide meetings of the executive officers of ESAs. More senior level SEA officials usually attend such sessions of the executive officers of special district ESAs than is true of those of cooperative networks (the widespread presence of senior level officials at state meetings of executive officers of regionalized SEA/ESA is to be expected.) The tendency of a greater per cent of senior level SEA officials to participate in state meetings of special district networks would appear to be consistent with the more extensive prescribed involvement of units of this type in state level activities.

Concerning the formal involvement of ESA networks in the regulatory system for the state system, it is observed that:

8. There is a relationship between the type of network and the formal involvement of the service agencies in regulations issued by the SEA, or other state agency for the state system of local education agencies. While a strong majority of special district networks, and a simple majority of regionalized SEA/ESA networks, were involved in the planning, implementation or evaluation of state regulations governing one or more aspects of local education agency operations, only a few of the cooperative systems participate in these activities. The relatively extensive required involvement of special district networks would appear to be related to the dual role of many of these systems of providing services for both the state and constituent local districts. It may also be a reflection of the fact that many of these networks replaced former county school systems that were primarily administrative, rather than programming units, and the regulatory responsibilities of the units replaced were transferred to the new units. The less frequent involvement of cooperative networks in a state

regulatory process is consistent with the primary mission of many of the units. Where these units were formally involved, the involvement tends to be voluntary rather than required.

9. There also is a relationship between the type of networks that are involved in the state regulatory system and the nature of their involvement. On the one hand, a majority of the networks of all types who are involved, tend to be engaged in less threatening aspects of state regulatory processes, such as the development of a statute or regulation, or its communication and interpretation to LEAs. However, only a minority of the networks, the bulk of them special district or regionalized SEA/ESA systems, tend to be engaged in either the administration or the regulation, its review or evaluation to determine compliance, or the application of sanctions against non-compliance. The relatevely extensive involvement of ESA networks of all types in the less threatening phases of the state regulatory system may reflect the awareness by state planners of the coordinating potential of a service unit. The relative absence of a prominent role by service units in the more complex phases of the state regulatory system may reflect a mere desire not to place the service units in an extreme adversary position, with respect to constituent local districts. Moreover, the near absence of involvement of ESAs in the application of sanctions against non-complying LEAs would appear to be consistent with well-guarded limitations on the delegation of this authority to agencies other than state governmental units.

Concerning the required formal evaluations of the networks, and the presence or absence of a requirement that service units submit plans to the state, it is observed that:

10. There is no relationship between the type of network and the requirement that the service agencies submit general organizational or financial plans. A majority of the networks of all types operate under such stipulations.

11. There is a relationship between the type of network and the requirement that the service agencies submit either organizational and/or program evaluations. That is, while all regionalized SEA/ESA networks have this requirement, only a small minority of the special district systems do, as do a slightly larger percentage, but still a minority, of cooperative ESA networks. No patterns are evident as to the legal source of these requirements where they exist (either in statute or in SEA regulation), the frequency of the required activities (most are annual), or the type of evaluation (self or external.)

Concerning other dimensions of the relationship between the SEA and the ESA networks, it is observed that:

12. There is some relationship between the type of network and the use of state requirements that 2 or more ESAs in a state collaborate in the performance of certain programming activities. While this requirement exists in only a few states, the substantial number of these are special district networks. This may be due to the tendency for greater state involvement in most networks of this type in contrast to a state's posture with respect to the workings of cooperative ESA systems.

13. Where state requirements for multi-ESA activities exist, they tend to be present in program areas requiring relatively extensive resources to launch and/or maintain a program, or a relatively high degree of specilization of staff and/or equipment (e.g., media, vocational/technical education) or in program areas aimed at special populations not ordinarily highly concentrated in many regions of a state (e.g., programs for the handicapped, adults, bi-lingual, and migrant children and youth.) These program patterns would reflect a conscientious attempt by the state to require collaborative action by the ESAs in recognition of the need to promote economies in the delivery of high cost programs, as well as improve the quality of services offered.

14. There is a relationship between the type of network and the use of state developed criteria in assigning functions to the ESA network. Only a majority of the special district systems are assigned functions based on the use of state developed criteria. The near absence of the use of criteria for assigning functions to cooperative networks is highly consistent with other aspects of the state's relationship with units of this type. What is surprising is the near absence of the use of criteria in assigning functions to regionalized SEA/ESA. Where criteria are used for agencies of whatever type, they tend to be limited to an enumeration of specific program areas that an ESA shall or can provide.

15. There is a relationship between the type of network and the transfer, since 1974-75, of functions traditionally assumed by the SEA to the networks. While not extensive in any type of network, this practice would appear to be most prevalent in regionalized SEA/ESAs, as might be expected. Only a small number of special district networks have experienced this movement, as have even a fewer number of cooperative systems, as also might be expected. Where functions have been transferred, they tend to relate to management services and indirect instructional services to LEAs, regardless of type of network. In the case of management services, these shifts may reflect a desire by the SEA to improve the management features of its operations by decentralizing certain activities. Or, it may reflect an increase in management requirements of SEAs in recent years, and a willingness to move some of the added responsibilities to the service agencies. In the case of indirect instructional services, these shifts may reflect a recognition by the state agency of limitations resulting from the centralization of certain instructional support services.

III. TENDENCIES OF THE THREE TYPES OF ESA NETWORKS FROM THE PERSPECTIVE OF TEN OVERRIDING CONSIDERATIONS

Introduction

In this discussion, emphasis is given to the tendencies of the 3 types of ESA networks that appear to emerge when the 9 categories of selected characteristics are viewed from the perspective of a number of themes that dominate much of the literature and contemporary debate on education service agencies. A number of topics considered here were included in the proceeding discussion. They are restated for the purpose of offering additional insight on patterns that may be present among the 3 types of service agencies.

The themes selected for consideration here are:

1. The nature and extent of state involvement in the workings of the networks;

2. The nature and extent of public LEA involvement in the workings of the networks;

3. The nature and extent of direct public involvement in the workings of the networks;

4. The political/administrative, program, and financial accountability of the networks;

5. The nature and extent of state commitment to the networks;

6. The nature and extent of federal involvement in the workings of networks;

7. The nature and extent of interface of the networks with post-secondary institutions;

8. The nature and extent of interface of the networks with other local/regional governments;

9. The perceived potential ability of the networks to contribute to major universal priorities of state systems of elementary-secondary education; and,

10. The perceived potential ability of the networks to contribute to the improvement of educational practice at the public LEA level.

Type of ESA Network and Nature and Extent of State Involvement

Individual characteristics used in the study were viewed to be beneficial in establishing the nature and extent of state involvement in the workings of the 3 types of ESA networks. As used here, state involvement could mean participation of any state level agency, although in most instances, the SEA is the primary unit responsibile for relating to service units in most states.

As is to be expected, involvement is most complete for the 7 regionalized SEA/ESA networks. Clear patterns are also evident with regard to the special district networks and the cooperative systems. Whereas involvement of the state in the workings of special district units is true for approximately one-half of the measures used, its involvement is clearly less concerning cooperative ESAs networks (in approximately one-third of the items.)

The most striking patterns of state involvement in the workings of the special district networks relate to the establishment and financing of the units followed by governing board operations and physical facilities. The level of state involvement in these 4 areas reflects a close monitoring of activities

that bear on the legal structure of the networks, and to the categories of executive officers, programming, and staffing would indicate that service agencies of this type have a degree of discretionary authority regarding a number of aspects of their internal management and operations, as these matters were measured in the study. A rough balance between the interests of the state and that of the service unit appears to be in place, patterned in many ways, it would seem, along the lines of the traditional state - LEA balance characteristic of many state school systems.

The most extensive state involvement in the workings of the cooperative ESAs appears to be in the categories of governing boards and establishment. This apparent inclination would seem to reflect a close monitoring of activities that bear directly on the corporate status of the networks, similar to the level of state interest in the workings of special district networks. The relative absence of state involvement in the remaining categories appears to be consistent with the general pre-disposition of the states to establish a minimal legal foundation for units of this type which allows a substantial degree of self-determination to reside in the units. Or, it could be that units of this type tend to be viewed in many quarters as extension of the local education agencies, possessing those powers and responsibilities enjoyed by the local districts. The need to establish a state posture in these instances is not as urgent.

Type of ESA Network and Nature and Extent of Public LEA Involvement

Thirty-eight individual characteristics used in the study were viewed to be beneficial in establishing the nature and extent of public LEA involvement in the workings of the 3 types of ESA networks.

Public LEA involvement appears to be limited for all 3 types for a majority of the measures. Where public LEA involvement is present, it is most extensive for cooperative ESAs.

For special district ESA networks, public LEA involvement, while apparently limited, is most prominent in the area of programming. This may be due to the fact that a greater percentage of networks of this type than the other 2 can offer direct instructional services, indirect instructional services, and management service to public LEAs. Surprisingly, public LEA involvement in the workings of regionalized SEA/LEAs is nearly equal to that for special district units.

Type of ESA Network and Nature and Extent of Direct Public Involvement

Seventeen individual characteristics used in the study were judged to be useful in establishing the nature and extent of public involvement in the workings of the 3 types of networks.

Participation of the public is limited, in that in not a single case was there a tendency for public involvement for a majority of individual state systems of each of the 3 types.

It could be argued that the measures used in the study distort the extent of public involvement, in that they do not establish the nature of public participation in the selection of LEA governing boards which, in many cases, represent the public by subsequently serving on ESA governing boards, review and/or approve the budget or programs of ESAs, or monitor the workings of ESAs in other ways. These practices, which are relatively extensive for cooperative networks, do, in fact, reflect a degree of public participation highly consistent with many of the traditions of representative government.

However, the intent of this exercise was to establish the direct involvement of the public in the workings of ESAs. It would appear that it is limited for all 3 types, especially with regard to the critical areas of: voter elections of members of ESA governing boards; representation on ESA advisory committees; voter approval of the budget of an ESA; involvement in program planning; and voter approval of ESA owned facilities.

Type of ESA Network and Nature and Extent of Political/Administrative Programs, and Financial Accountability

Tendencies of the 3 types of ESA networks to exhibit political/administrative, programming, and financial accountability to the 3 principal constituencies who ordinarily have, or are expected to have, a high interest in workings of service units -- the state, public LEA and the public -- were also examined. In this instance, a number of major policy areas in the operations of a service agency, many of them representing a combination of 2 or more of the characteristics used in the study, were selected as useful in establishing the nature and extent of accountability. Moreover, in this exercise, the accountability of the 3 types of networks was defined to mean the level (extensive, moderate, limited, or none) of required participation, review, or approval of the state, public LEA, or the public in the major policy areas.

Patterns appear to be clearly evident with regard to the level of required state, public LEAs, or public participation, review or approval in the major policy decision areas of types of ESA networks. In general, the required participation, review, or approval of the state is dominant for a substantial majority of the major policy areas governing the operation of most regionalized SEA/ESA networks, as is to be expected. Moreover, state level participation, review or approval is required for a majority of the policy areas governing most of the special district networks. And, consistent with earlier profiles, state level participation, review, or approval in the decision making processes of most cooperative networks is limited.

Public LEA participation, review,or approval in major policy decisions of all 3 types of service agency networks appears to be most prevalent for cooperative networks relative to the other 2 types. Also, as indicated in an earlier analysis, the required direct participation review, or approval by the public in all types of networks is virtually nonexistent.

Even with the limited role played by the public, it would still seem that a relatively extensive system of checks and balances exist concerning the workings of most ESA networks. That is, regionalized SEA/ESA networks are largely restricted from taking unilateral action in most policy decisions. Further, these units tend to function under relatively structured plans and procedures developed at the state level. Similarly, many decisions

of most special district networks are subjected to the review or approval of state level agencies. The majority of policy decisions made by cooperative networks would appear to be subjected to review or approval by public LEAs.

Stated differently, few of the networks, regardless of type, enjoy a large degree of autonomy in policy making. While the quality and effectiveness of external interventions in the workings of ESAs is not known, it would appear that most networks function under carefully prescribed plans and procedures that are either shared with external sources or largely determined by other agencies. Processes for external intervention in the workings of the networks appear to be well in place.

Type of ESA Network and Nature and Extent of State Commitment

A total of 75 characteristics used in the study were judged to be meaningful expressions of state commitment to the workings of the 3 types of ESA networks. As one would expect, state commitment is most complete for the regionalized SEA/ESA networks. For the remaining 2 types of networks, state commitment, as measured in the study, would appear to be most prevalent for the special district networks. Commitment to these networks is especially evident with regard to these important considerations: providing a legal structure for the establishment of the units; executive officers, and advisory committee(s); funding for part of the programs offered by the units; designation of the units as sole recipients of monies for specified programs; funding for part or all of general administration costs; permission to own physical facilities; funding for part or all as rented/leased space; designation of a single unit or office having responsibility for ESA relations; and, allowing a degree of organizational, financial, program, and staffing flexibility. The majority of networks of this type did not benefit from one additional area that would ordinarily represent state commitment, the funding of part or all of ESA owned facilities.

The majority of cooperative systems also show evidence of state commitment to their welfare, although to a lesser degree than the special district networks. State commitment to the cooperative networks appears to be clearest with regard to the following major consideration: providing a general legal framework for their establishment; funding part of the programs offered by the units; designation of the units as sole recipients of monies for specific programs; funding part or all of costs for rented/leased space; designation of a single unit or office having responsibility for ESAs; and, allowing the units a degree of organizational, financial, program, and staffing flexibility.

Major differences between the nature and extent of state commitment to special district and cooperative networks would appear to be related to the greater structure under which most special district units function (although, as established earlier, the level of state funding of special district ESAs networks is substantially greater than for cooperative ESA networks.) In this exercise, the existence of state provisions covering certain aspects of the

establishment or operation of the units is viewed to be evidence of state commitment. Thus, the position is taken that the existence of state provisions concerning certain aspects of ESA operations ordinarily has as one of its goals the establishment of a structure and clarity concerning what a governmental jurisdiction may or may not do. This perspective of one of the overriding intents of state provisions would appear to be reasonable, given the newness of many of the service agencies, and the fact that service units in many instances have no counterparts in school government. For example, provisions for creating new, altering boundaries, changing LEA membership, or dissolving a network, all would appear to be evidence of the state's interest in creating an orderly system, rather than allowing the willy-nilly development of the units.

Type of ESA Network and Nature and Extent of Federal Involvement

A total of 13 characteristics used in the study were judged to be useful in establishing the nature and extent of federal involvement in the workings of the 3 types of networks.

Federal involvement, as measured in this study, is limited in the number of interactions. However, it appears to be critical for all 3 types of networks. That is, the majority of the individual state systems of each type have established one or more advisory bodies in response to federal requirements, a majority of each type offer programs and services in response to federal initiatives and, it follows, a majority are recipients of federal funding of one or more programs. On this latter point, as established elsewhere, the majority of cooperative networks are dependent upon federal monies to support their operation, to a greater extent than the majority of special district networks.

Types of ESA Networks and Nature and Extent of Interaction With Post Secondary Institutions

A total of 7 individual characteristics used in the study were judged to be useful in establishing the nature and extent of interaction between types of ESA networks and post-secondary institutions.

Little interaction appears to exist. The one characteristic in which a majority of the networks of each type interacted relates to the issuance of written communications to post-secondary institutions. The apparent widespread absence of a more substantive relationship between ESAs and post-secondary institutions is surprising, although the single purpose nature of many of the cooperative ESAs, or accessibility to a post-secondary institution, might be the cause for few inter-relationships in a number of instances. The apparent low level of relations between the typically more comprehensive, and typically geographically larger special district networks may reflect a limited view by the state, or the service agencies and post-secondary institutions of many of the benefits resulting from joint planning and programming. Or, it could be that the administrative problems attendant to collaborative action

are viewed to be too restrictive. Or, this phenomena may merely be a reflection of the traditional isolation of levels of the educational community or a turf protection posture that appears to be widespread in public service fields generally.

Types of ESA Network and Nature and Extent of Interaction With Other Local/Regional Governments

Eighteen individual characteristics used in the study were judged to be useful in establishing the nature and extent of interaction between types of ESA networks and other local or regional governments.

The majority of individual state systems of all types of networks communicate regularly with local/regional governments. In addition, coterminous boundaries of local, county, or regional governments were used as one of the criteria for establishing the geographic boundaries of many of the systems. Little other relations appear to exist.

While a number of the 18 characteristics used represent administrative interrelationships, still others represent programming and staffing relations that would appear to offer benefits to both parties. The widespread absence of greater interaction in these areas may be a reflection of the traditional separation of school government and general government, although the multiplicity of local governmental jurisdictions in many instances no doubt compounds the development of collaborative action.

Types of ESA Network and Perceived Contributions to Major Universal Priorities of State Systems of Education

Examined in this discussion is the perceived contributions of types of ESA networks to contribute to major universal priorities of state systems of elementary-secondary education. Fourteen statements, judged to be reflective of the themes of the major universal needs of state systems of education found in the literature, are used in this analysis. The 14 statements, cited below, are arbitrarily divided into 3 categories: governance issues, administrative issues, and program issues.

Governance Issues

1. Improve state-local partnership by facilitating establishment of platforms for resolution of state-substate-local interests

2. Improve state-local partnership by facilitating necessary state regulatory processes

3. Improve policy coordination and cooperation between units of school government and general government at the state-sub-state-local levels

4. Improve access of public to educational policy making processes at the state-substate-local levels

Administrative Issues

5. Facilitate establishment and maintenance of a statewide long-range planning capability

6. Facilitate the establishment and maintenance of a statewide research, development, and evaluation capability

7. Facilitate the establishment and maintenance of statewide dissemination capability

8. Facilitate the establishment and maintenance of a statewide communication capability

9. Facilitate best use of state resources in achieving state established priorities

10. Facilitate best use of time and energy of state agencies in providing leadership to state system of education

Program Issues

11. Facilitate the removal of inequities in LEA programming for the general student population in both basic and support service areas due to limitations of enrollment, financial resources, staff specialization, facilities or equipment, or other constraints

12. Facilitate improvement of the quality of LEA programming for the general student population in both basic and instructional support service areas due to limitations of enrollment, financial resources, staff specialization, facilities and equipment, or other constraints

13. Facilitate the removal of inequities in LEA programming for special population of students in both basic and instructional support service areas due to limitations of enrollment, financial resources, staff specialization, facilities and equipment, or other constraints

14. Facilitate the removal of inequities in LEA programming for the general student population in both basic and support service areas due to limitations of enrollment, financial resources, staff specialization, facilities or equipment, or other constraints

A number of major considerations were made in offering observations concerning the perceived potential ability of the 3 types of networks to contribute to the priorities judged to be of paramount interest to all state systems. These are:

1. The adequacy of the legal framework in 1977-78 governing the majority of individual state systems of ESAs of each of the 3 types, thus helping assure that the service units possessed the legitimacy and other prerequisites necessary to potentially respond to the priorities.

2. Whether or not the majority of individual state systems of ESAs in each of the 3 types of networks in 1977-78 were statewide in scope, thus helping assure that the service units possessed the ability to potentially relate to each local district in the state.

3. Whether or not public LEA membership in 1977-78 was mandated for a majority of the individual state systems of ESAs in each of the 3 types, thus helping assure that the service units could potentially relate to local districts in a way not possible if membership were permissive.

4. Whether or not the majority of individual state systems of ESAs in each of the 3 types in 1977-78 possessed organizational stability (as distinguished from legal framework), thus helping assure that the service units possessed a degree of continuity to potentially engage overtime in responding to the priorities, many of which require extended periods to develop, implement, and evaluate.

5. Whether or not the majority of individual state systems of ESAs in each of the 3 types in 1977-78 possessed a definite financial resource base, thus helping assure that the service units possessed the resources to potentially respond to the priorities, many of which require the pooling and best use of resources from multiple sources.

6. Whether or not the majority of individual state systems of ESAs in each of the 3 types in 1977-78 possessed comprehensive staffing resources, thus helping assure that the service units possessed the staffing expertise to potentially respond to the priorities, many of which require the concentration and best use of highly qualified staff.

7. Whether or not the majority of individual state systems of ESAs in each of the 3 types in 1977-78 offered comprehensive programs and services, thus helping assure that the service units possessed the programming capability to potentially be an important contributor to achieving the priorities.

The following 4 point scale was used to indicate the tendencies of the 3 types of ESA networks:

1. Potential is Above Average (if a majority of the state systems in each type appeard to possess 6 of the 7 attributes):

2. Potential is Average (if a majority of the state systems in each type appeared to possess 4 or 5 of the 7 attributes):

3. Potential is Below Average (if a majority of the state systems in each type appeared to possess no more than 3 of the 7 attributes):

4. Potential is None (if a majority of the state systems in each type appear to possess none of the 7 attributes).

It would appear that many of the special district networks are making contributions to 2 of the governance priorities:

- improved state-local partnership by facilitating the establishment of platforms for the resolutions of state-substate-local interests

- improved state-local partnership by facilitating necessary state regulatory processes

Moreover,many of the networks of this type also appear to be contributing to several of the administrative priorities cited in this exercise, especially:

- the establishment and maintenance of a statewide dissemination capability

- the establishment and maintenance of a statewide communication capability

- facilitating best use of time and energy of state agencies for providing leadership to state systems of education

Many of the special district networks also appear to be making contributions to the program priorities of state systems of education, especially:

- in the provision of specialized services to the general student population

- in the provision of specialized services to special populations of students

- in the provision of specialized services to the staff of local districts

Many of the regionalized networks similarly appear to be making contributions to the universal priorities of state systems of education, especially:

- improved state-local partnership concept by facilitating the establishment of platforms for the resolution of state-sub-state-local interests
- facilitating the establishment and maintenance of a statewide long-range planning capability
- facilitating the establishment and maintenance of a statewide communication capability

A majority of the regionalized systems do not offer comprehensive programs and services. Thus, the contributions of a majority to the 4 program priorities cited is viewed to be limited.

A majority of the cooperative networks appear to be constrained in playing a major role in the 14 priority areas. This limited view is based on the following major considerations: most of the networks are not statewide in scope; the permissive nature of public LEA membership in most state system; and, the lack of comprehensiveness of programs and of staff of many of the networks.

It is to be emphasized that the objective of this exercise was to offer observations concerning the perceived contributions of a majority of the networks of each type of contribute to what are regarded to be major universal requirements of state systems of education. There are obvious exceptions to the view offered here. Moreover, it should be noted that an individual state network or units in a network may not, by deliberate policy, have a planned role in responding to many of the statements on this or any other list of priorities of a state system of education. Thus, care should be exercised in applying these observations to an individual state network or to individual service agencies.

Type of ESA Network and Perceived Contributions to Improvement of Educational Practice at Public LEA Level

Examined in this discussion is the perceived contributions of types of ESA networks to contribute to the improvement of educational practice at the public LEA level. The same approach used in the preceding discussion is used here, although in this case 17 major educational requirements reflecting a local, rather than a state, perspective are utilized. The 17 statements of major requirements, cited below, are arbitrarily grouped into the same 3 categories: governance practices; administrative practices; and, program practices.

Governance Practices

1. Improve state-local partnership by facilitating establishment of platforms for resolution of state-local issues

2. Improve state-local partnership by facilitating necessary state regulatory processes

3. Improve policy coordination and cooperation between units of school government and general government at the local and sub-state levels

4. Improve access of public to educational policy making processes at the local and necessary substate levels

Administrative Practices

5. Facilitate the establishment and maintenance of a substate long-range planning capability

6. Facilitate the establishment and maintenance of local and substate research, development, and evaluation capability

7. Facilitate the establishment and maintenance of local and substate dissemination capability

8. Facilitate the establishment and maintenance of a substate communication capability

9. Facilitate the best use of local and substate resources in achieving state established priorities

Program Practices

10. Facilitate the removal of inequities in LEA programming for both general and special student populations by providing comprehensive direct instructional services

11. Facilitate improvement of the quality of direct instructional services for both general and special student population

12. Facilitate the removal of inequities in LEA programming for both general and special student populations by providing comprehensive instructional support services

13. Facilitate the improvement of quality of instructional support services for both general and special student populations

14. Facilitate provisions of necessary LEA management services with efficiency and economy

15. Facilitate improvement in the quality of LEA management services

16. Facilitate best use of staffing resources through joint appointments

17. Facilitate best use of space and equipment through joint usage

It would appear that many of the special district networks are contributing to 2 of the 4 governance requirements cited in the exercise:

- improved state-local partnership by facilitating the establishment of platforms for the resolutions of state-local issues
- improved state-local partnership by facilitating necessary state regulatory processes

And, many appear to be making contributions to 2 of the 5 administrative requirements cited:

- the establishment and maintenance of a substate dissemination capability
- the establishment and maintenance of a substate communication capability

Because many of the special district networks offer relatively comprehensive programs and services, the view is held that many of the networks of this type are contributing to the improvement of educational practices at the public LEA level in these important areas:

- in the provision, and quality, of direct instructional services to the general and special student populations
- in the provision and quality of instructional support services
- in the provision and quality of management services

Many of the regionalized networks also appear to be contributing to a number of the governance and administrative issues cited, especially:

- facilitating the establishment of platforms for the resolution of state-local interests
- facilitating the establishment and maintenance of a substate long-range planning capability
- facilitating the establishment of a substate dissemination capability
- facilitating the establishment of a substate communication network

The contributions of a majority of regionalized networks in improving educational practice at the public LEA level in the 7 program requirements cited is viewed to be limited.

It would appear that many of the cooperative networks are contributing to a number of the 17 requirements for the improvement of educational practice in the local education agencies included in the collaborative. This would seem to be especially true, in a relative sense, in the following governance and administrative requirements cited in the exercise:

- the establishment of platforms for the resolutions of state-local interests
- the improvement of access of the public to educational policy making processes at the local and necessary substate levels
- facilitating the establishment and maintenance of a substate long-range planning capability
- facilitating the establishment of a substate dissemination capability
- facilitating the establishment of a substate communication capability

Similarly, many of the cooperative networks appear to be contributing, in a relative sense, to the improvement of educational practice in the local education agencies served, especially in the following ways:

- the provision, and quality, of selected direct instructional services, especially to special populations of students
- the provision, and quality, of selected instructional support services
- the provision, and quality, of selected management services

Again, it is to be emphasized that the objective of this exercise was to offer observations concerning the perceived contributions of a majority of the networks of each type to contribute to what are regarded to be major requirements for the improvement of educational practice at the public LEA level. There are obvious exceptions to the views expressed here. Moreover, it should be noted that an individual state network or units in a network may not, by deliberate policy, have a planned role in responding to many of the requirements on this or any other list of requirements. Thus, care should be exercised in applying these observations to an individual state network or to individual service agencies.

Summary

Added insight concerning tendencies of the 3 types of ESA networks can be offered when the 3 are viewed from the perspective of 10 prominent themes found in the literature on education service agencies, the approach used in this portion of the discussion of the findings of selected characteristics of the 31 ESA networks in 26 states focused on in the exploratory study.

1. State involvement in the workings of the 3 types of ESA networks is most prominent for regionalized SEA/ESAs, as might be expected. State involvement in the workings of a majority of the special district ESAs appears to be moderate, and its interaction in the operations of a majority of cooperative ESAs appears to be limited.

2. Public LEA involvement in the workings of the 3 types appears to be most evident for the majority of cooperative networks.

3. Direct public involvement in the workings of a majority of all 3 types is virtually non-existent.

4. The political/administrative, program and financial accountability of a majority of the regionalized SEA/ESAs to public LEAs and to the public appears to be limited. A majority of the special district ESAs appear to be most accountable to the state. The majority of cooperative ESAs appear to be most accountable to public LEAs. Thus, most networks, regardless of type, appear to have limited autonomy for policy development.

5. State commitment to the 3 types of networks appears to be most extensive for regionalized SEA/ESAs, as is to be expected, as well as for a majority of the special district units.

6. Federal involvement in the workings of the 3 types appears to be limited in all cases.

7. The interaction of types of ESA networks with post secondary institutions appears to be limited in a majority of cases.

8. Similarly, the interaction of types of networks with other local and regional governments appears to be limited in a majority of instances, especially when required administrative relationships are excluded.

9. A majority of special district networks appear to be potential contributors to the achievement of many of what are viewed to be major universal priorities of state systems of education. The potential role of a majority of regionalized SEA/ESA networks also appears to be important, although to a far lesser extent in programming areas. The role of a majority of cooperative ESA networks is viewed to be constrained.

10. Similarly, a majority of the special district networks appears to be making contributions to the improvement of educational practice at the public LEA level. The role of a majority of regionalized SEA/LEAs appears to be less extensive but still important, especially with regard to improved administrative practice. The perceived contributions of a majority of cooperative ESA systems to improved practice in the local agencies served by the collaborative is also significant, but generally more selective.

IV. MAJOR PERCEIVED STRENGTHS AND WEAKNESSES OF THE THREE TYPES OF NETWORKS 1/

Introduction

Presented in this section of the discussion of the findings of the exploratory study are observations concerning the major perceived strengths and weaknesses of the 3 types of networks.

These perceived strengths and weaknesses are based on the tendencies of the 3 types of ESA networks that are related to selected characteristics of the 3 types, as revealed in the findings of this study; and, the tendencies of the 3 types of ESA networks, when viewed from the perspective of 10 themes in the literature on service agencies.

However, it is to be noted that the identification of a particular statement as a strength rather than as a weakness, or vice-versa, is based on judgements concerning its relative importance to the health of the networks. Others might hold that what is regarded here as a strength (or weakness) to be just the opposite. A brief explanation of the importance of each statement provides the rationale for the designation of a characteristic as strength or as a weakness.

Special District ESA Networks 1/

Major Strengths

The 11 special district networks, when considered as a group, are judged to have a number of strengths. Twenty of these are of major importance and are listed below. The rationale for identifying each as a strength follows each statement. While some of the themes have been used elsewhere in this discussion, they are summarized here for the purposes of emphasis.

1. A majority of the networks were established through the enactment of mandatory legislation, which in turn, was based on a state plan in which the SEA played a prominent role. This contributes to necessary preplanning, the legitimacy, and the accountability of the system.

2. A majority of the networks are statewide in scope, and public LEA membership is mandated. This contributes to the ability of the system to relate to all public local districts in the state.

3. A majority of the networks are the single, or at a minimum, the major service network operating in their state school systems. This contributes to a broader mission and a reduction of completion and fragmentation.

1/ It is to be recalled that in the study the 11 individual state systems of special district ESAs are: California, Illinois, Iowa, Michigan, New York, Ohio (County Office of Education), Oregon, Pennsylvania, Texas, Washington and Wisconsin.

4. A majority of the networks are governed by state provisions concerning changes in the number of units, alterations in their boundaries, changing LEA membership status, or dissolving of the network. This contributes to orderly changes, and to the organizational stability of the system.

5. A majority of the networks have governing boards whose selection, role and function, and operating procedures are, on the one hand, prescribed, yet a degree of organizational, program and financial flexibility is allowed. This contributes to organizational legitimacy, stability, and accountability of the systems, while allowing some discretionary authority in recognition of differences in tradition and/or local or regional need.

6. The governing boards and executive officers of a majority of the networks have no review or approval authority over the operations of constituent LEAs, as distinguished from involvement in one or more phases of the state regulatory systems. This contributes to clarity of mission, and a reduction in inter-organization conflict.

7. The role and function, and most of the conventional requirements of the position of executive officer of a majority of the networks are governed by state provisions. This contributes to the legitimacy of the position, and clarity of role and function.

8. A majority of the networks have one or more required advisory bodies for general operation, budget activities, or program planning. This contributes to the quality of activities, and to the accountability of the systems.

9. The salaries of executive officers are comparable to those of comparable LEAs in a majority of the networks. This contributes to the competitiveness of the ESAs in attracting the best leadership talent.

10. A majority of the networks are governed by state provisions in budget planning and approval processes, and in other fiscal activities. This contributes to sound fiscal management, the quality of the activities, and to the accountability of the systems.

11. A majority of the networks received a substantial percentage of their mean revenues from state sources. This contributes to the maintenance of state commitment, and to the maintenance of a relatively definite funding support base.

12. A majority of the networks offer relatively comprehensive direct instructional services to public LEAs. This contributes to the ability of the systems to respond to priorities of the state system of education, and to the improvement of educational practice at the public LEA level.

13. A majority of the networks offer relatively comprehensive indirect instructional services to public LEAs (rationale same as #12).

14. A majority of the networks offer relatively comprehensive management services to public LEAs (rationale same as #12).

15. A majority of the networks offer relatively comprehensive services to the SEA. This contributes to the ability of the systems to respond to priorities of the state systems of education.

16. A majority of the networks have relatively comprehensive staffs. This contributes to their ability to establish a critical mass of staff expertise, and to their ability to make best use of staff resources.

17. A majority of the networks devote a relatively greater percent of their budget for staff development. This contributes to the renewal of staff, and to the expertise of staff.

18. A majority of the networks own the facilities housing their programs and services. This contributes to the organizational stability of the systems.

19. A majority of the networks make use of satellite centers in delivering services. This contributes to the accessibility of constituents to the services offered by the systems.

20. A majority of the networks are involved in one or more of the non-adversary phases of the state regulatory system for public LEAs. This contributes to the ability of the systems to respond to priorities of the state system of education.

Major Weaknesses

The 11 special district networks, when considered as a group, also have a number of major weaknesses. The 5 judged to be of major importance are:

1. A majority of the networks have an unnecessarily large number of units in their state systems. This contributes to a reduction in the efficiency, effectiveness, and quality of the system.

2. The governing boards of a majority of the networks are not representative bodies. This contributes to a loss of credibility concerning the governance of the systems.

3. There is a limited involvement of the state in the selection of executive officers in a majority of the state systems even though many are designated as state agents, many perform substantial services for the SEA, many receive significant state financial support, and many are involved in the state regulatory system. This contributes to a reduction in the accountability of the positions, a reduction in the efficiency and effectivenss of the positions, and to potential increases in inter-organization conflict.

4. The positions of executive officer in a majority of the networks are not subject to a required evaluation. This contributes to less accountability of the positions.

5. A majority of the networks do not engage in potentially rewarding program relationships with post-secondary institutions or with other local or regional governments. This contributes to a loss in the efficiency, effectiveness and quality of services offered by the systems, and a default of the role of educational advocate in the region.

Regionalized SEA
ESA Networks 1/

Major Strengths

The regionalized SEA/ESA networks, when considered as a group, have at least 10 strengths judged to be of major importance:

1. A majority of the networks were established through the enactment of mandatory legislation,or by action of the executive branch of state government. This contributes to the legitimacy of the systems.

2. A majority of the networks are statewide in scope, and public LEA membership is mandated. This contributes to the ability of the system to relate to all public local districts in the state.

3. A majority of the networks have what appear to be a reasonable number of units. This contributes to the efficiency and effectiveness of the systems.

4. A majority of the networks operate under prescribed policies governing all, or virtually all, aspects of their internal organizational procedures. This contributes to organizational stability, and to the accountability of the systems.

5. A majority of the networks operate under prescribed policies governing their fiscal operations. This contributes to the accountability of the units.

6. A majority of the networks receive all or virtually all of their revenues from state and/or state/federal sources. This contributes to the maintenance of a relative definite funding support base.

1/ It is to be recalled that in this study, the 7 individual state systems of regionalized SEA/ESAs are: Massachusetts (Regional Education Centers),New Jersey (Education Improvement Centers and County Superintendent of Schools), Ohio (Special Education Regional Resource Centers and Field Service Area Coordinators), North Carolina and Oklahoma.

7. a majority of the networks have required evaluations of their executive officers and other staff. This contributes to the accountability of the staff.

8. A majority of the networks are provided facilities to house their programs and services. This contributes to the organizational stability of the systems.

9. Interactions with other SEA, other state, and with federal agencies for a majority of the networks is coordinated by the SEA unit having primary responsibility for the system. This contributes to the efficiency and effectiveness of the systems.

10. A majority of the networks are involved in one or more of the non-adversary phases of the state regulatory system. This contributes to the ability of the systems to respond to state priorities.

Major Weaknesses

The regionalized SEA/ESA networks, when considered as a group, also have a number of major weaknesses. The 6 that viewed to be of major importance are:

1. A majority of the networks do not have required advisory bodies. This contributes to a loss in the quality of services, and to the accountability of the systems.

2. The salaries of the executive officers and staff for the majority of the networks do not compare favorably with comparable LEA salaries. This contributes to the non-competitiveness of the system.

3. The majority of the networks do not offer comprehensive direct instructional services to public LEAs. This reduces their role in responding to priorities of the state system of education, and their role in improving educational practices at the public LEA level.

4. The majority of the networks do not offer comprehensive indirect instructional services to public LEAs (rationale same as #3 above.)

5. The majority of the networks do not offer comprehensive management services to public LEAs (rationale same as #3 above.)

6. The majority of the networks devote only a small percentage of their budget to staff development. This contributes to a reduction in the quality and expertise of staff.

Cooperative ESA
Networks 1/

Major Strengths

The 13 cooperative ESA networks, when considered as a group, have at least 9 strengths judged to be of major importance:

1. The majority of networks were established through the enactment of permissive legislation or by permissive action of the executive branch of state government. This contributes to the "ownership" of the networks by the sponsoring public LEAs, and to the accountability of the systems to member LEAs.

2. Public LEAs were involved in the establishment of a majority of the networks (rationale same as #1 above.)

3. State involvement in the workings of a majority of the networks is relatively limited, especially with regard to the role and function of governing boards, and the internal operations of the networks. This contributes to a relatively high degree of organizational flexibility to respond to the traditions and needs of the region served.

4. Public LEAs are involved in the selection of governing boards in a majority of the networks. This contributes to the accountability of the systems.

5. The governing boards and executive officers of a majority of the networks have no review or approval authority over the operations of constituent LEAs. This contributes to a reduction in inter-organizational conflict.

6. Public LEAs are involved in approving the budget in a majority of the networks. This contributes to the accountability of the systems.

7. Public LEAs are involved in authorizing programs and services in a majority of the networks. This contributes to the accountability of the systems.

8. Public LEAs are involved in the selection of executive officers in a majority of the networks. This contributes to the accountability of the systems, and to LEA commitment to the positions.

9. Public LEAs are involved in the evaluation of staff in a majority of the networks. This contributes to the quality of the evaluations, and to the accountability of the systems.

1/ It is to be recalled that in this study, the 13 individual state systems of cooperative ESAs are: Alaska, Colorado, Connecticut, Georgia, Indiana, Maryland, Massachusetts (Educational Collaboratives), Minnesota, Nebraska, Ohio (Regional Educational Service Agencies), Rhode Island, South Carolina, and West Virginia.

Major Weaknesses

The cooperative ESA networks, when considered as a group, have a number of major weaknesses, of which 14 are judged to be most critical:

1. The majority of the networks are not statewide in scope. This contributes to the inability of the systems to relate to all public LEAs in the state and to the organizational isolation of the systems.

2. A majority of the networks are not governed by state provisions concerning changes in the number of units, alterations in their boundaries, changing LEA membership status, or dissolving the network. This contributes to a reduction in the organizational stability of the systems, and to the possible willy-nilly development of the systems.

3. The position, and role and function of the executive officers of a majority of the networks are not prescribed in legislation and/or SEA rules and regulations. This contributes to the ambiguity of the position, and organizational instability of the systems.

4. The salaries of the executive officers of a majority of the networks do not compare favorably with comparable LEA salaries. This contributes to the non-competitiveness of the systems.

5. A majority of the networks are heavily dependent upon local and federal monies for their financial support base. While these sources assure a degree of accountability, particularly local funding sources, they, nonetheless, tend to make funding indefinite.

6. A majority of the networks offer limited direct instructional services to public LEAs. This contributes to a reduction in their role of responding to priorities of the state system of education, and their role in improving educational practice at the public LEA level.

7. A majority of the networks do not offer comprehensive indirect instructional services to public LEAs (rationale same as #6 above.)

8. A majority of the networks do not offer comprehensive management services to public LEAs (rationale same as #6 above).

9. A majority of the networks do not offer comprehensive services to the SEAs. This contributes to a reduction of their role in responding to priorities of the state system of education.

10. A majority of the networks have relatively limited staff. This contributes to a reduction in their ability to establish a critical mass of staff expertise, and to their ability to make best use of staff resources.

11. A majority of the networks devote a relatively small percent of their budget to staff development. This contributes to a reduction in the quality and expertise of staff.

12. A majority of the networks do not own facilities housing their programs and services. While this may be desirable for promoting organizational flexibility, it, nonetheless, contributes to a more pervasive concern, a reduction in the organizational stability of the systems.

13. The majority of networks are not involved in the non-adversary phases of the state regulatory system for public LEAs. This contributes to a reduction in their ability to respond to priorities of the state system of education.

14. A majority of the networks do not engage in potentially rewarding program relationships with post secondary institutions or with other local or regional governments. This contributes to a loss in the efficiency, effectiveness, and quality of services offered by the systems.

Summary

The special district ESA networks, when considered as a group, possess a relatively large number of major strengths and only a few perceived weaknesses. The major strengths of a majority of state systems of this type center on their relatively structured mode of operation, the relatively stable fiscal support base, and the comprehensiveness of their programs and services, and staff. The major weakness of the majority of state systems would appear to be the large number of individual units in many of the systems.

The regionalized SEA/ESA networks also have a number of major strengths, principally their relatively structured organizational features and their relatively definite source of fiscal support. The major weaknesses of the majority of state systems of this type would appear to be their limited ability to improve educational practice at the public LEA level.

The major perceived strengths of the cooperative ESA networks are the relatively extensive involvement of member public LEAs in the workings of a majority of the state systems of this type. The large number of perceived weaknesses of a majority of state systems center on their lack of organizational stability, the lack of definite funding sources, and limitations in their programs and services.

V. THE UTILITY OF THE SELECTED CHARACTERISTICS OF TYPES OF ESA NETWORKS IN IDENTIFYING THE DIRECTION OF FURTHER TAXONOMIC EFFORTS

Introduction

Throughout this exploratory study, use was made of a priori classification system for determining the type of education service agency in place in the 26 states focused on in the investigation. These 3 types are:

Type A Special District ESAs
Type B Regionalized SEA/ESAs
Type C Cooperative ESAs

While the above a priori classification system (including working definitions) was used in the initial communication with the participating SEAs, it should be noted that the taxonomy was first subjected to a relatively extensive series of field reviews and field tests in a number of states and in a number of ESAs. Its utility was tentatively verified in these planning exercises.

The completion of the study affords another, and more meaningful, test of the utility of the a priori classification of types of ESA networks, and this is the focus of this section of the discussion. Consideration of this topic is undertaken because of its perceived high potential to contribute to other broader tasks associated with the evolving ESA concept.

The overriding objective of this analysis is to identify which of the variables used in this study might be useful for the further direction of taxonomic efforts. It is to be emphasized that the achievement of a meaningful taxonomy is held to be a critical prerequisite in efforts to design evaluation strategies for comparing types of education service agencies, an appropriate concern of high interest to local, state, and federal policy planners and decision makers, and to the public.

The hope here is that this exercise will aid further taxonomic efforts by identifying those characteristics of types of service agencies that appear to account for the complexities of the external environment under which ESAs function, their mode of operation, and their products, all central considerations in taxonomic efforts, and, ultimately, to meaningful comparative evaluation activities.

Utility of Measures in Study to Distinguish Types of ESA Networks

In the discussion which follows, 100 key characteristics used in the study were examined from the following perspective:

1. Each characteristic was judged to be useful if it appears to distinguish the majority of individual state systems of all 3 types of ESA networks.

2. Each characteristic was judged to be of some usefulness if it appears to distinguish a majority of the individual state systems of 2 of the 3 types from a majority of the third.

3. Each characteristic was judged to be of no utility if it did not appear to distinguish the majority of individual state systems of any of the 3 types of networks.

Forty-seven of the 100 key characteristics do not appear to distinguish a majority of individual state systems of each of the 3 types, as these characteristics were measured in this exploratory study. Of the remaining 57, none appear to be useful in distinguishing the majority of individual state systems of all 3 types, but rather, are of some usefulness in distinguishing a majority of 2 of the 3 types from the third. The results of this analysis are presented below:

Establishment: It would appear that the following 3 major characteristics are of some usefulness in distinguishing a majority of the special district and regionalized SEA/ESA networks from a majority of the cooperative systems:

- use of mandatory rather than permissive legislation or regulation
- mandatory rather than permissive public LEA membership
- extensiveness of statewide development of network

Two other major characteristics appear to be of some usefulness in differentiating a majority of the cooperative systems from the other 2.

- prominent role of federal programs in establishment
- extensiveness of involvement of public LEAs in establishment

Governing Boards: Two major characteristics appear to be of some usefulness in distinguishing a majority of the special district networks from the regionalized SEA/ESA and cooperative networks:

- election of governing boards
- longer length of term

Of apparently no utility in distinguishing the 3 types are:

- size of membership
- restrictions on the qualifications of members, number of terms, or compensation practices
- sex, ethnicity, and prior experience of members
- use of ex-officio members
- authority over constituent public LEAs

Executive Officers: It would appear that the following major characteristics are of some usefulness in distinguishing a majority of the special district and regionalized SEA/ESA networks from the cooperative systems:

- role of staff planner in assisting LEAs
- more comprehensive management information system

Two additional features appear to be of some usefulness in distinguishing a majority of special district and cooperative networks from regionalized SEA/ESAs.

- greater use of management team concept
- greater use of advisory committee

Finance: The following major characteristics appear to be useful in discerning a majority of the special district from the cooperative systems: 1/

- greater per cent of total expenditures received from state
- greater percentage increase in state funds from 1974-75 to 1977-78
- greater percent of total expenditures received from federal sources in 1977-78
- greater percentage increase in federal funds from 1974-75 to 1977-78
- greater total expenditures
- use of state prescribed budget planning and procedures

Several additional major characteristics are apparently of no utility in discriminating a majority of the networks of each type:

- authority to levy taxes
- state aid formula based on specific variables
- percentage of mean revenues from within ESA
- methods used to allocate costs for services
- required participation of non-ESA groups in budget planning and approval
- required accounting practices
- required auditing practices

Programs : One major characteristic appears to be of some usefulness in distinguishing a majority of special district and cooperative systems from regionalized SEA/ESA networks:

- provision of direct instructional services to public LEAs

Two other major characteristics appear to be of some usefulness in discerning a majority of special district networks from the other two.

- Provision of direct instructional services in the areas of vocational/occupational, pupil personnel services, and assistance in federal programs

- provision of services to agencies other than LEAs and the SEA

1/ It is to be noted that in the category of financial characteristics, distinctions are made for only 2 of the 3 types of networks. The Type B networks were excluded because of limited data on these systems.

The following major characteristics are of no apparent utility in distinguishing a majority of the 3 types:

- common core of most frequently offered program (although substantial differences exist in the breadth and depth of services offered)
- provision of direct instructional services to public LEAs in the area of education of pupils with handicapping conditions
- provision of indirect instructional services to public LEAs in the areas of media and library services, and professional staff development
- provision of management services to public LEAs (although differences exist in breadth of specific services in the category)
- provision of services to nonpublic schools
- increase in size of program from 1974-75 to 1977-78

Staff: Six major characteristics appear to be of some usefulness in distinguishing a majority of special district networks from regionalized SEA/ESA and cooperative systems:

- larger average size of staff
- increase in staff size from 1974-75 to 1977-78
- greater per cent of staff employed through use of federal monies
- use of joint appointments with other agencies
- greater per cent of budget allocated for staff development
- comparability of ESA and LEA salaries

One additional major characteristic appears to be of some usefulness in distinguishing a majority of regionalized SEA/ESA systems from the other two:

- collective bargaining prohibited

Two major characteristics appear to be of some usefulness in discerning a majority of cooperative systems from the other two:

- LEA participation in staff evaluation
- greater LEA participation in screening candidates for top-level administrative positions

The following major characteristics are of no apparent utility:

- per cent of staff assigned to administration
- required certification of staff
- tenured administrators and supervisors
- required evaluation of staff

Physical Facilities: Two major characteristics appear to be of some usefulness in distinguishing a majority of special district networks from the other two:

- ownership of facilities
- use of satellite centers

A majority of cooperative networks appear to be different from the other two in:

- the use of rent-free space

SEA-ESA Relations: Two major characteristics appear to be of some usefulness in discriminating a majority of special district and regionalized SEA/ESA systems from the cooperative networks:

- extent of participation of senior level SEA officials in state meetings of ESA administrators
- greater involvement in state regulatory system for public LEAs

A majority of the regionalized SEA/ESA networks appear to be different from the other 2 types on one major feature of their operations:

- state required organizational and program evaluations

Five additional major characteristics apparently are of no utility in distinguishing a majority of the networks of each type:

- single unit in SEA having program responsibility for SEA-ESA relations
- status location of SEA unit
- existence of state requirements for organizational and program planning
- state requirement for multi-ESA groupings for specific programs
- assignment of traditional SEA functions to ESAs since 1974-75

Summary

It would seem that a large number of selected characteristics of the 3 types of ESA network are useful in identifying the critical variables that should be considered in the development of a meaningful taxonomy of types of ESAs. The position is taken here that a meaningful taxonomy of types of ESAs is an essential prerequisite to the design of evaluation strategies for comparing the effectiveness of different types of education service agencies.

A number of the variables appear to identify many of the central contextual and organizational elements that ought to be considered in developing a taxonomy. The fact that a large number of potential variables were identified ought not to be viewed as a weakness, but rather a positive outcome. This is so because many educational service agencies are complex organizations, without many counterparts in elementary-secondary education. The use of a single or small number of characteristics in constructing a taxonomy would not be fruitful.